



**State of California  
Request For Proposal (CGCC 0820-141)**

**April 13, 2004**

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**License  
Information  
System  
(LIS)**

**Department of Justice and  
California Gambling Control Commission**

**Issued By  
State of California  
Department of General Services  
707 Third Street  
West Sacramento, CA 95798-9054**

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## SECTION I – Overview of This Procurement

### A. Purpose

The purpose of this Request for Proposal (RFP) is to solicit Proposals from Contractors to implement a Commercial Off-The-Shelf (COTS) licensing application for the California Gambling Control Commission (CGCC) and the Department of Justice, Division of Gambling Control (DGC) that will support the requirements of the Gambling Control Act (Chapter 867), passed in 1997.

The selected Contractor will integrate its COTS application to jointly support the Current Technical Environment and Business Requirements of both the DGC and CGCC as described in this RFP.

The application will be known as the License Information System (LIS).

Modification of the COTS application will be limited to database, reports, forms, and business rules. Source code customization is not acceptable i.e., adding or changing functionality at the source code level.

This procurement is being conducted under the provisions of Public Contract Code §12102 et seq. Responses to this RFP will be evaluated based on Best Value to the State which is defined as selecting the most qualified Proposal at the most reasonable overall cost to the State.

Bidders should carefully read [Section IV, Evaluation and Selection](#), page 51, to be sure they understand the evaluation process. Bidders should refer to [Appendix C, Glossary of Terms](#), page 76 for an explanation of acronyms and terms used throughout this document.

This procurement is being conducted in compliance with the Americans with Disabilities Act (ADA) as explained in the [ADA Compliance Policy \(See Appendix B, Exhibit 2, page 65\)](#). Any questions or requests pertaining to this compliance may be referred to the Procurement Official identified in [Section I-F, Procurement Official](#), page 11.

Issuance of this RFP in no way constitutes a commitment by the State of California to award a contract. The State reserves the right to reject any or all Proposals received if the State determines that it is in the State's best interest to do so. The State may reject any Proposal that does not meet all of the mandatory requirements of this RFP, is conditional, or is incomplete.

## **B. Bidder Admonishment**

Prospective Bidders are reminded that it is their responsibility to:

- Read carefully all the contents of this RFP.
- Ask for clarification in a timely manner.
- Address all requirements and follow all procedures of this RFP.
- Inform the State of problems with RFP specifications.
- Submit all responses by the required dates and times.

## **C. Rules of Procurement**

### **1. Identification and Classification of RFP Requirements**

#### **a) Mandatory Requirements**

The State has established certain requirements with respect to Proposals to be submitted by Bidders. The use of “shall,” “must,” or “will” (except to indicate simple futurity) in the RFP indicates a requirement or condition from which a deviation, if not material, may be waived by the State.

A deviation from a requirement is material if the deficient response:

- Is not in substantial accord with the RFP requirements.
- Provides an advantage to one Bidder over other Bidders.
- Has a potentially significant effect on:
  - 1) the delivery, quantity, or quality of items proposed,
  - 2) the amount paid to the Bidder, or
  - 3) the cost to the State.

Material deviations cannot be waived.

#### **b) Desirable Items**

The words “should” or “may” in this RFP indicate desirable attributes or conditions that are non-mandatory in nature. Deviation from, or omission of, such a desirable feature, even if material, will not in itself cause rejection of the Proposal.

## 2. Bidding Requirements and Conditions

### a) General

A Bidder's Final Proposal is an irrevocable offer for 120 days following the scheduled date for Contract Award specified in [Section I-G, Key Action Dates, page 12](#). A Bidder may extend the offer in the event of a delay of Contract Award.

The State reserves the right to modify or cancel this RFP, at any time, up to the contract execution date in whole or in part.

### b) RFP Documents

In addition to an explanation of the State's needs that must be met, this RFP includes instructions that prescribe the format and content of Proposals to be submitted.

If a Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify the State of such error in writing and request clarification or modification of the document. Modifications will be made by addenda issued pursuant to [Section I.2.e. Addenda, page 4](#). The State shall give such clarifications, by written notice, to all parties who have expressed an interest in participation, without divulging the source of the request for clarification.

If the RFP contains an error known to the Bidder, or an error that reasonably should have been known, the Bidder shall bid at its own risk. If the Bidder fails to notify the State of the error prior to the date fixed for submission of Proposals, and is awarded the contract, the Bidder shall not be entitled to additional compensation or time by reason of the error or its later correction.

### c) Questions Regarding the RFP

Bidders requiring clarification of the intent or content of this RFP or on procedural matters regarding the procurement process may request clarification by submitting questions via email with the subject line titled, "Questions Relating to RFP CGCC 0820-141" to the Procurement Official listed in [Section I-F, Procurement Official, page 11](#). To ensure a response prior to the submission of Final Proposals, questions must be received in writing by the scheduled date given in [Section I-G, Key Action Dates, page 12](#). Question and answer sets will be provided to all Bidders without identifying the submitters.

If the Bidder believes that one or more of the RFP requirements is onerous, unfair, or imposes unnecessary constraints to the Bidder in proposing less costly or alternate solutions, the Bidder may request a change to the RFP by submitting, in writing (e-mail preferred) the recommended change(s), and the facts substantiating this belief and reasons for making the recommended change. Such request must be submitted to the Procurement Official listed in [Section I-F, Procurement Official, page 11](#), by the date specified in [Section I-G, Key Action](#)



[Dates](#), page 12, for requesting a change in RFP requirements. Oral answers shall not be binding on the State.

d) Contract Language Changes

Contract language changes are not acceptable to the State.

e) Addenda

The State may modify this RFP until the contract execution date by issuance of an addendum to all parties who are participating in the bidding process at the time the addendum is issued. Addenda will be numbered consecutively. If the Bidder determines that the addendum unnecessarily restricts their ability to bid the bidder is allowed five (5) working days from the date the Addendum is issued to submit a protest of the requirements.

f) Bonds or Security Documents

The State reserves the right to require a faithful performance bond or other security document from an admitted Surety Insurer for the goods and services specified in this RFP from the Bidder in an amount not to exceed the amount of the contract. If the State requires the Bidder to actually provide the bond it will pay the Contractor's documented reasonable bonding costs.

g) Discounts

In connection with any discount offered, except when provision is made for a testing period preceding acceptance by the State, time will be computed from date of delivery of the supplies or equipment as specified, or from date correct invoices are received in the office specified by the State if the latter date is later than the date of delivery. When provision is made for a testing period preceding acceptance by the State, date of delivery shall mean the date the supplies or equipment are accepted by the State during the specified testing period. Payment is deemed made, for the purpose of earning the discount, on the date of mailing the State warrant or check.

Cash discounts of less than twenty (20) calendar days or less than one half of one percent (0.5%) will not be considered in evaluating offers for award purposes unless otherwise specified by the State in this RFP; however, offered discounts of less than twenty (20) calendar days will be taken if payment is made within the discount period, even though not considered in the evaluation of offers.

h) Joint Proposals

A joint Proposal (two (2) or more Bidders bidding jointly on one Proposal) may not be submitted for this procurement. The State is looking for a Prime Contractor who may or may not use Sub-Contractors for the performance of the work.

i) Errors in Final Proposals

An error in the Final Proposal may cause the rejection of that Proposal; however, the State, at its sole option, may retain the Proposal and make certain corrections. In determining if a correction will be made, the State will consider the conformance of the Proposal to the format and content required by the RFP, and any unusual complexity of the format and content required by the RFP.

- 1) If the Bidder's intent is clearly established based on review of the complete Final Proposal submittal, the State, at its sole option, may correct an error based on that established intent.
- 2) The State, at its sole option, may correct obvious clerical errors.
- 3) The State, at its sole option, may correct discrepancy and arithmetic errors on the basis that, if intent is not clearly established by the complete Proposal submittal, the Master Copy shall have priority over additional copies, the Proposal narrative shall have priority over the contract, the contract shall have priority over the cost sheets, and within each of these, the lowest level of detail will prevail. If necessary, the extensions and summary will be recomputed accordingly, even if the lowest level of detail is obviously misstated. The total price of unit-price items will be the product of the unit price and the quantity of the item. If the unit price is ambiguous, unintelligible, uncertain for any cause, or is omitted, it shall be the amount obtained by dividing the total price by the quantity of the item.
- 4) The State, at its sole option, may correct errors of omission, and in the following four situations, the State will take the indicated actions if the Bidder's intent is not clearly established by the complete Proposal submittal.
  - If an item is described in the narrative and omitted from the contract and cost data provided in the Proposal for evaluation purposes, it will be interpreted to mean that the Bidder at no cost will provide the item.
  - If a minor item is not mentioned at all in the Final Proposal and is essential to satisfactory performance, the Proposal will be interpreted to mean that the item will be provided at no cost.
  - If a major item is not mentioned at all in the Final Proposal, the Proposal will be interpreted to mean that the Bidder does not intend to supply that item.
  - If a major item is omitted, and the omission is not discovered until after Contract Award, the Bidder shall be required to supply that item at no cost.

- 5) If a Bidder does not follow the instructions for computing costs not related to the contract (e.g., office space costs), the State may reject the Proposal, or at its sole option, re-compute such costs based on instructions contained in the RFP.

If the re-computations or interpretations, as applied in accordance with this section result in significant changes in the amount of money to be paid to the Bidder (if awarded the contract) or in a requirement of the Bidder to supply a major item at no cost, the Bidder will be given the opportunity to promptly establish the grounds legally justifying relief from its Proposal.

**It is absolutely essential** that Bidders carefully review the cost elements in their Final Proposal, since they will not have the option to change them after the time for submittal.

j) Flawed Final Proposals

The State may declare the Final Proposal to be an additional Draft Proposal in the event that the State Evaluation Team determines that Final Proposals from all Bidders contained material deviations and that it is in the best interest of the State to continue the bid process. If this occurs, the State will issue an addendum to the RFP and a Confidential Discussion will be held with each Bidder that submitted a flawed Final Proposal and any other Bidder that requests a Confidential Discussion. Each Bidder will be informed of the due date for the submission of a new completed Final Proposal to the State. This submission must conform to all of the requirements of the original Final Proposal as amended by any subsequent addenda. During the evaluation of the new Final Proposal, the State Evaluation Team may request the Bidder to clarify any area of the Proposal that the State Evaluation Team determines to be unclear. However, this request for clarification will not be an opportunity for the Bidder to change its Proposal.

k) Protest

Before a protest is submitted regarding any issue other than selection of the "Successful Contractor," the Bidder must make full and timely use of the procedures described in this section to resolve any outstanding issue(s) between the Bidder and the State. The procurement procedure is designed to give the Bidder and the State adequate opportunity to submit questions and discuss the requirements, Proposals, and counter Proposals before the Final Proposal is due. The protest procedure is made available in the event that a Bidder cannot reach a fair agreement with the State after exhausting these procedures. In such cases, a protest may be submitted according to the procedure below. Protests regarding any issue other than selection of the "successful Contractor" will be heard and resolved by the Deputy Director of the Department of General Services Procurement Division whose decision will be final.

If a Bidder has submitted a Proposal which it believes to be totally responsive to the requirements of the RFP and to be the Proposal that should have been

selected according to the evaluation procedure in [Section IV, Evaluation and Selection](#), page 51, and the Bidder believes the State has incorrectly selected another Bidder for award, the Bidder may submit a protest of the selection as described below. Protests regarding selection of the "Successful Contractor" will be heard and resolved by the State Board of Control whose decision will be final.

All protests must be made in writing, signed by an individual authorized to sign Proposals for the Bidder, and contain a statement of the reason(s) for protest; citing the law, rule, regulation, or procedures on which the protest is based. The protester must provide facts and evidence to support the claim. Protests must be delivered or mailed to:

Street Address	Mailing Address
Deputy Director Procurement Division 707 Third Street, 2nd Floor West Sacramento, CA 95814	Deputy Director Procurement Division P.O. Box 942804 Sacramento, CA 94204–0001

All protests to the RFP or protests concerning the evaluation, recommendation, or other aspects of the selection process must be received by the Deputy Director of the Procurement Division as promptly as possible, but not later than the respective times and dates specified in the Intent to Award notification and/or in [Section I-G, Key Action Dates](#), page 12 for such protests. Certified or registered mail should be used unless delivered in person, in which case the protester should obtain a receipt of delivery.

### 3. Bidding Steps

The procurement process comprises the following major steps:

- Draft Proposal (complete in all details should be submitted without dollar information.
- Confidential discussions with Bidders.
- Final Proposal submitted with sealed dollar information.
- During the Final Proposal evaluation the State may require a product Demonstration of the Bidder's COTS package. If one Bidder is required to demonstrate their COTS software package all responsive Bidder's will be required to demonstrate their systems.
- Notification of Intent to Award.

- Contract Award.
- Debriefing.

Given the time constraints of this procurement, the Bidder should begin work immediately on the steps necessary to satisfy DVBE participation goals.

a) Draft Proposal Submitted

The procurement process for this RFP is being managed in two stages a Draft Proposal and a Final Proposal. The purpose is to give Bidders a chance to submit a complete Draft Proposal, meet with the State for confidential discussions to clear up any possible defects before submitting a Final Proposal.

In the Draft Proposal, the Bidder will complete and submit “Volume 2—Cost Proposal” but **without** dollar amounts. Sealed Dollar amounts will be included only in the Final Proposal.

b) Confidential Discussions With Bidders

Following submission of the Draft Proposal and evaluation by the State, Bidders will be invited by the State to participate in Confidential Discussions to review any possible defects in the Draft Proposal, in preparation for submitting a Final Proposal. In addition the Bidder will be asked to provide a walkthrough of their COTS product and a system similar to the LIS system to familiarize the State with what the Bidder is proposing. At the Confidential Discussion, the State will provide the Bidder with an opportunity to discuss questions, concerns, and solutions within a confidential setting.

Oral statements made by either party during Confidential Discussions shall not be binding.

c) Final Proposal Submitted

The Bidder’s Final Proposal must be delivered to the State by the date and time specified in the Key Action Dates for the Final Proposal due date. The State evaluates and scores the Final Proposal.

The Sealed Cost Proposal portion of the Final Proposal will be opened and evaluated for all Bidders that are without material deviations to the requirements in Volumes 1 and 3.

d) Notification of Intent to Award

Bidders will be notified of the selected Bidder prior to Contract Award. The results of the Final Proposal will be publicly posted at:

Department of General Services  
707 Third Street, 2nd floor  
West Sacramento, California

All Bidders will be provided written notification of their Final Proposal score.

e) Contract Award

Award of contract, if made, will be in accordance with all preferences to a responsible and responsive Bidder who's Final Proposal complies with all the requirements of the RFP documents and any addenda thereto, except for such immaterial defects as may be waived by the State. Contract Award will be made after all project funding is secured and all required contract signatures are obtained.

f) Debriefing

A debriefing may be held after Contract Award at the request of any Bidder for the purpose of receiving specific information concerning the evaluation of their Proposal. Information provided in the debriefing discussion will be based primarily on the evaluations of the Bidder's Proposal. A debriefing is not the forum for challenging the RFP specifications or requirements, or the State's evaluation.

#### 4. Delivery of Proposals

The response to this RFP is being managed in two stages: a Draft Proposal and a Final Proposal. The purpose is to give Bidders a chance to submit a Draft Proposal, and then meet with the State for confidential discussions to clear up any possible defects before submitting a Final Proposal.

All Proposal material requested is exactly the same in both Proposals (except for DVBE Participation Forms and "Volume 2—Cost" and as modified by any RFP Addenda). In the Draft Proposal, the Bidder will submit DVBE Participation Forms and "Volume 2—Cost" with complete information but without dollar amounts. Dollar amounts will only be included in the Final Proposal as part of the Sealed Cost Proposal.

The Bidder must submit Proposals by the dates and times specified in [Section I-G, Key Action Dates](#), page 12. If mailed, Proposals must be received on or before the specified dates.

Proposals not received by the dates and times specified in [Section I-G, Key Action Dates](#), page 12 will be rejected.

The Bidder must mail or deliver Proposals to the Procurement Official listed in [Section I-F, Procurement Official](#), page 11. If a Proposal is mailed, the Bidder should use certified or registered mail with return receipt requested, as mailing of Proposals is done at the Bidders' own risk of untimely delivery, lost mail, etc.

Proposals must be received in the number of copies stated in [Section III, Proposal Contents and Submission](#), page 44.

As required in [Section III-C, Volume 2—Cost](#), page 48, all cost data for the Final Proposal must be submitted under separate, sealed cover and be clearly marked “Cost Data.” If cost data is not submitted in this manner, the Proposal may be rejected.

If discrepancies are found between two or more copies of the Proposal, the Proposal may be rejected. However, if not so rejected, the Master Copy will provide the basis for resolving such discrepancies. If one (1) copy of the Proposal is not clearly marked “Master Copy,” the State, at its sole option, may reject the Proposal or, immediately after Proposal opening, select one (1) copy to be used as the Master Copy.

## 5. Withdrawal and Resubmission/Modification of Proposal

The withdrawal of any Proposal must be made in writing prior to the Final Proposal submission date and time, and must be signed by an authorized Bidder representative.

An oral request to withdraw a Proposal, including an oral request by telephone is not acceptable.

The Bidder may thereafter submit a new or modified Final Proposal prior to the Final Proposal submission date and time.

## 6. Rejection of Bids

The State may reject any or all Proposals and may waive any immaterial deviation or defect in a Proposal. The State's waiver of any immaterial deviation or defect shall in no way modify the RFP documents or excuse the Bidder from full compliance with the RFP specifications if awarded the contract.

## D. Contract Terms and Conditions

The Contract Terms and Conditions have been set for this procurement by DGS. DGS anticipates that there will not be any changes to the language during the procurement. The Bidder may view or download the current DGS Terms and Conditions at:

<http://www.pd.dgs.ca.gov/modellang/ModelContracts.htm>.

The contract will include the following

- [STD 213](#)
- [The IT General Provisions \(Revised and Effective 01/01/04\)](#)
- [Information Technology Purchase Special Provisions](#)
- [Information Technology Maintenance Special Provisions](#)
- [Information Technology Software License Special Provisions](#)
- [Information Technology Personal Services Special Provisions](#)

- [Statement of Work for this RFP \(See Section II-B, Statement of Work, page 29\)](#)

## E. Availability

The selected Bidder must be able to meet the requirements of this RFP and be available to begin work on Contract execution date, Hawkins Data Center will be responsible for purchasing the hardware required to implement the Contractor's solution. The Contractor will be responsible for working with DGC, CGCC and the Hawkins Data Center to implement the COTS product. The Department of Justice shall have a minimum of three months to provide a fully functional environment installed for the COTS solution.

## F. Procurement Official

The contact for submitting Proposals, questions, and related items is:

Tom Burton  
Department of General Services  
707 Third Street  
West Sacramento, CA 95798-9054  
Voice: (916) 375-4493  
email: [tom.burton@dgs.ca.gov](mailto:tom.burton@dgs.ca.gov)



## G. Key Action Dates

Table 1 lists the major milestones for this procurement.

**Table 1 Key Action Dates**

	<b>Key Action</b>	<b>Date</b>
1	Release RFP.	Apr. 13, 2004
2	Draft Proposals due (by 4:00 p.m.).	May 18, 2004
3	Confidential Discussions begin with finalists.	Jun. 16, 2004
4	Last day to submit written questions before Final Proposals are due.	Jun. 25, 2004
5	Last day to protest requirements; last day to request change in requirements.	Jul. 9, 2004
6	Final Proposals Due (by 1:30 p.m.)	Jul. 23, 2004
7	Sealed Cost Proposal opening.	Aug. 13, 2004
8	Notice of Intent to Award.	Sept 16, 2004
9	Contract Award.	Sept. 24, 2004

The date for the Cost Proposal opening and the Notice of Intent to Award, are subject to change by the State. The date for the Contract Award is approximate and subject to change by the State without notice.

## H. Program Overview

Throughout this document, the terms ‘gaming’ and ‘gambling’ are synonymous. The term ‘gambling establishment’ refers to either a card room or a tribal casino.

### 1. Background

Regulatory and enforcement oversight of California’s gambling industry is shared by the California Gambling Control Commission (CGCC) and the Department of Justice, Division of Gambling Control (DGC). Oversight includes card rooms and Indian casinos. Although the State has permitted the operation of gambling establishments for more than 100 years, it traditionally limited that operation to card rooms.

In 1984, the Legislature enacted the Gaming Registration Act, requiring the Attorney General to provide uniform, minimum regulation of card rooms.

The Gambling Control Act (Chapter 867), passed in 1997, created the DGC in the Department of Justice (DOJ). The Act (Business and Professions Code, section 19800 et seq.) requires licensing and regulation of the following:

- All gambling operations.
- All gambling establishments.
- Qualifications of individuals who apply for State gambling licenses.
- All persons who hold an ownership interest, investment, or managerial interest in a gambling establishment.
- All persons having a significant involvement in gambling operations.
- All manufacturers, sellers, and distributors of gambling equipment.

The Act also created the five-member CGCC to establish minimum regulatory standards for the gambling industry and to ensure that the State gambling licenses are not issued to or held by unsuitable or unqualified individuals.

Proposition 1A amended the California Constitution to permit Class III gambling (such as slot machines and banked or percentage card games) on Indian land, provided that such activities are authorized by tribal ordinance and conducted in conformity with a gaming compact entered into between the tribe, the State and the federal government.

The compacts provide for joint DGC and CGCC oversight with tribal gaming agencies to ensure compliance with terms of the compacts. The following describes the role of the California Gambling Control Commission, Division of Gambling Control, and Hawkins Data Center:

a) Role of The California Gambling Control Commission (CGCC)

The CGCC has the following oversight responsibilities:

- Set gambling policy and administers, adjudicates, and regulates all gambling-related activity.
- Hold jurisdiction over the operation, concentration, and supervision of gambling establishments in the State, and over all persons or things related to gambling establishments.
- Approve, deny, or restrict any license or permit required by the Act.
- Impose fines on any licensee.
- Grant temporary licenses or approvals.
- Ensure gambling activities take place only in suitable locations.
- Ensure that no ineligible, unqualified, disqualified, or unsuitable person is associated with controlled gambling.
- Investigate the consequences, benefits, and disadvantages of imposing state taxes on the revenue generated by gambling establishments.

b) Role of The Division of Gambling Control (DGC)

The DGC, as a division of DOJ, is the investigative and law enforcement arm for the CGCC. The Act empowers the DGC to:

- Investigate the qualifications of applicants for gambling-related licensing. This includes persons with a financial interest in a gambling establishment, key employees (supervisory personnel), work permittees, vendors, and Contractors who supply Third-Party Proposition Player (TPPP) services and gambling equipment and resources.
- Monitor the conduct of all licensees or persons having a material involvement in gambling operations.
- Investigate suspected violations of the Act.
- Investigate complaints against licensees.
- Initiate disciplinary action against licensees.
- Authorize the play of controlled games.

c) Role of the Hawkins Data Center (HDC)

The Hawkins Data Center was established in 1972 (Chapter 787, Statutes of 1972) to provide information technology support services to law enforcement and the Department of Justice (DOJ). The HDC's responsibilities include:

- Install, maintain, and operate DOJ's mainframe computer systems and telecommunications components 24-hours a day.
- Install, maintain, and operate DOJ's GroupWise e-mail system and Novell Directory Services.

- Install, maintain, and support the UNIX Open Systems computer complex in the area of the operating system software, compilers, utility programs, and Oracle Relational Data Base Management System.
- Install, maintain, and support the UNIX operating system on the Sequent, SUN and ClearPath UNIX hardware systems.
- Install, maintain, and support the Storage Area Network (SAN).
- Provide backup, reconstruction, and restoration as necessary.
- Provide technical consulting.
- Ensure that all DOJ IT projects are conducted/managed according to Department of Finance and Department of General Services methodology and best practices.
- Delegate authority to procure IT goods and service on behalf of the department.
- Promote and maintain IT application development standards.
- Promote and maintain standardization of desktop/notebook and office IT products.
- Develop and maintain IT applications and services for department internal customers to meet their program objectives, and assimilate and provide information for local law enforcement agencies.

## **2. Current Environment**

The CGCC and the DGC jointly share responsibility of processing licensing applications, work permits, and other gaming related monitoring. The CGCC receives and logs the application or permit request, then forwards the case to the DGC for a background investigation. At the DGC an analyst, an auditor, and a special agent conduct the investigation, evaluate all submitted materials, and evaluate investigation results as well as maintaining their own detailed time and expense records. The DGC decision process concludes with a recommendation to the CGCC, which reviews the recommendation, follows up with the DGC as necessary, and accepts or modifies the recommendation at a public hearing. The CGCC notifies the applicant of the final decision. This joint process requires DGC staff and CGCC staff to frequently share information about each case.

The following information defines the technical environment of the three agencies participating in this procurement, DGC, CGCC, and the Hawkins Data Center (HDC):

a) DGC Technical Environment

The current DGC environment uses a combination of manual processing and reliance on the Unisys MAPPER system and Criminal Justice Information System (CJIS). Access to application file documents and much of the application information is manual. Staff members physically inspect the file contents to get needed information. This limits data access to one person at a time.

- There are approximately 80 users within the DGC who can access this information.
- The Unisys mainframe on which the MAPPER and CJIS System resides is located in the HDC in Sacramento.
- The HDC operates the Cal-DOJ Network, a wide area TCP/IP network (WAN) that connects locations statewide.
- DGC workstations are part of Enterprise Novell Network and a specified Windows 2000 domain.
- The DGC currently accesses the MAPPER system via the Cal-DOJ Network.
- MAPPER is a Unisys proprietary software package that currently resides on a Unisys 2200 mainframe. The software handles both the databases and programs. Programs are written in the Unisys proprietary software MAPPER language. Its current system information categories are:
  - Club
  - Subject (employees, owners, individuals with financial investment)
  - Fingerprint information
  - Renewals
  - Background
  - Designated agents
  - Comments
- Individual users access the MAPPER and CJIS system from desktops or terminals.
- The MAPPER system is limited in flexibility and in the ability to accommodate modification.
- The CJIS databases require a specific format to access but are currently being re-written to accommodate an XML interface. Authorized users based on a need to know and right to know can only access CJIS.

- The CGCC does not have access to the MAPPER system or CJIS databases. The CLETS Advisory Committee would only grant CJIS access with the approval of an application.

b) CGCC Technical Environment

The current CGCC environment consists of Wintel (Intel and Microsoft) components and TCP/IP based networking.

- The CGCC currently has five servers:
  1. File & Print
  2. Database
  3. Outlook/E-mail
  4. Web
  5. Fax
- All servers use Microsoft Windows 2000 Advanced Server as their operating system platform.
- All servers are behind a Sonicwall firewall. The CGCC uses CISCO routers and hubs for its local area networking (LAN).
- The CGCC connects its network to the Internet via Teale Data Centers' network.
- All business and application data regarding licensing and audits are primarily maintained in Microsoft Access with some data residing in Microsoft Excel spreadsheets. Multi-user access is available to the Access database that is the primary database supporting licensing and from which business units within CGCC rely on for data.
- There are approximately 25 users within the CGCC who can access this information.
- SQL server is the enterprise database for the CGCC. It is anticipated that the database being proposed will complement the LIS database for offline internal reporting and data analysis.

c) HDC Technical Environment

HDC maintains the technical environment for all DOJ as shown in [Appendix H, Technical Description](#), page 90 for the most current description of the DOJ UNIX and Windows environment.

- DOJ mainframe computer systems and telecommunications components on a Unisys 2200 mainframe.
- DOJ GroupWise e-mail system and Novell Directory Services.
- UNIX Open Systems computer complex in the area of the operating system software, compilers, utility programs, and Oracle Relational Data Base Management System.
- UNIX operating system on the Sequent, SUN and ClearPath UNIX hardware systems.
- Storage Area Network (SAN).
- Desktop/notebook and office IT products – The minimum PC configuration for DGC is a Dell Optiplex GX1, 500MHz, Pentium III with 128 MB of memory. There are 2 with 128 MB of memory and 12 with 256MB of memory. All DOJ PC's are configured with Microsoft Office 2000, GroupWise 6.5, CA Asset Management, Trend Virus Protection, Corel Word Processing version 8.

### **3. Existing Workflow To Be Automated**

Please refer to [Appendix D, Business Process Flowcharts](#), page 83.

## SECTION II - Procurement Requirements and Statement of Work

### A. Procurement Requirements

The Bidder must indicate their compliance with the following requirements by checking either “yes” to the following requirements, If any requirements have a “no” response the Bidder will be disqualified.

All modules in Section II are mandatory and must be implemented within the first 180 days after the award of the contract. Failure to respond to a requirement may cause the Final Proposal to be rejected.

#### 1. Request For Additional Information Notice

If during the evaluation process the State is unable to assure itself of the Bidder's ability to perform under the contract if awarded, the State has the option of requesting from the Bidder or any other source any financial or past performance information that the State deems necessary to determine the Bidder's ability to perform. As an example a request for a Dunn and Bradstreet Report or the Bidder's Annual Audited Financial Report may be requested. If such information is required from the Bidder, the Bidder will be so notified and will be permitted three (3) working days to submit the information.

If the information submitted by the Bidder, or available from other sources is insufficient to satisfy the State as to the Bidder's ability to perform, the State may ask for additional information or reject the Proposal. The State's determination of the Bidder's ability to perform, for the purpose of this RFP, shall be final.

<b>Bidder agrees to the above requirement?</b>	<b>YES</b> _____	<b>NO</b> _____
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#### 2. Disabled Veteran Business Enterprise (DVBE) Participation

The Bidder's Proposal must contain the completed forms from DGS' website depending on the option chosen for Disabled Veteran Business Enterprise (DVBE) participation. To review the instructions and complete the appropriate form(s), log on to:

<http://www.documents.dgs.ca.gov/pd/dvbe/dvbereg6.pdf>



For this procurement, the State has a DVBE goal of three (3) percent of the combined total cost. The 3% will be calculated on [Cost Sheet 3 – Combined Total Cost](#), page 72 line 5, “8 Year Total Cost”. If the Bidder does not meet the goal or do a Good Faith Effort to meet the goal, the DVBE participation requirement may cause a Proposal to be considered non-responsive and ineligible for Contract Award.

To meet this requirement the Bidder must do at least one of the following:

- Meet the contract goal of three (3) percent of the 8 Year Total Cost from Cost Sheet 3 – Combined Total Cost – line 5, “8 Year Total Cost”.
- Provide documentation as prescribed to show that the Bidder has made a “good faith effort” to achieve 3% DVBE participation.
- Provide evidence that the Bidder has an approved DVBE utilization plan with the Department of General Services, Procurement Division.

At the time that a Bidder submits the Final Proposal, the Bidder will have calculated the dollar value of the total cost proposed in response to the requirements of this RFP. For this reason, if the Bidder claimed to meet the DVBE goal in the administrative portion of the Proposal, the Bidder shall identify the actual dollar figure and the percentage (3 percent or more of the combined total cost of cost sheet 3) representing the rate of participation for each proposed DVBE Sub-Contractor. This data shall be identified on the DVBE Participation Summary form (Std. 840 revised 7/98) in the column marked “claimed DVBE value” and submitted only as part of the Bidder’s separately sealed Cost Proposal (“Final Proposal—Volume 2, Cost”).

Cost figures shall only appear in the Bidder’s final, sealed cost Proposal (“Final Proposal—Volume 2, Cost”). If the Bidder’s Draft Proposal contains any dollar figures, the Bidder may be prohibited from further participation in this procurement.

<b>Bidder agrees to the above requirement?</b> YES _____      NO _____
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### **3. Notice Regarding Bidding Preferences**

The following provisions address various bidding preferences. They will be a factor in determining the winning Bidder.

#### **a) Small Business Preference**

Section 14835, et seq. of the California Government Code requires a (five) 5 percent preference be given to a Bidder who qualifies as a small business. Small businesses are desired and encouraged to participate in this RFP.

To claim the small business preference, the firm must have its principal place of business located in California, have a complete application (including proof of annual receipts) on file with the Office of Small Business and Disabled Veteran

Business Certification by 5:00 p.m. on the date the Final Proposal is due, and be verified by such office. Questions regarding the preference approval process should be directed to the Office of Small Business and Disabled Veteran Business Certification at (916) 375-4940.

Proposals submitted by certified small business and micro-businesses will be scored after consideration of the small business preference. The score of all certified small businesses shall be adjusted as follows: a preference equal to five (5) percent of the highest responsible and responsive Bidder's total score shall be computed and shall constitute the small business preference amount. The preference amount shall be added to the Proposals submitted by all responsive certified small business Bidders.

b) All Bidders: Check The Appropriate Line

- \_\_\_\_\_ I **am** a certified small business and the small business preference is applicable to this Proposal. A copy of my certified form from the Office of Small Business and Disabled Veteran Business Certification is attached.
- \_\_\_\_\_ I have recently filed for small business preference but have not yet received certification.
- \_\_\_\_\_ I am **not** a certified small business and I am **not** claiming the small business preference.

c) Target Area Contract Preference Act (TACPA)

- Target area contract preference will be granted to California based firms in accordance with Government Code section 4530 whenever contracts for goods or services are in excess of \$100,000 and the Bidder meets certain requirements as defined in the California Administrative Code (title 2, section 1806.30 et seq.) regarding labor needed to provide the goods being procured.
- Bidder's questions regarding this preference are to be directed to the Office of Small Business and Disabled Veteran Business Certification, 707 Third Street, first floor, West Sacramento, California, 95605. Bidders desiring to claim this preference must submit with their Final Proposal a fully executed copy of Standard Form 830, which can be found at:

<http://www.documents.dgs.ca.gov/osp/pdf/std830.pdf>

**If this preference is being sought, check here:** \_\_\_\_\_

d) Enterprise Zone Act (EZA)

- California Government Code, Section 7070 et seq, provides that California based companies may be granted preferences when bidding on State contracts in excess of \$100,000 for goods and services (excluding construction contracts) if the business site is located within designated “enterprise zones.” Bidders desiring to claim this preference must submit a fully executed copy of the Standard Form 831 with their Final Proposal. Form 831 can be found at: <http://www.documents.dgs.ca.gov/osp/pdf/std831.pdf>.

**If this preference is being sought, check here:** \_\_\_\_\_

e) Local Agency Military Base Recovery Act (LAMBRA)

- California Government Code, section 7118 et seq, provides that California based companies may be granted preferences when bidding on State contracts in excess of \$100,000 if they qualify and apply for the LAMBRA preference. Bidders desiring to claim this preference must submit a fully executed copy of the standard form 832, with their Final Proposal, which can be found at:

<http://www.documents.dgs.ca.gov/osp/pdf/std832.pdf>

**If this preference is being sought, check here:** \_\_\_\_\_

Bidders are not required to apply for TACPA, EZA, or LAMBRA preferences. Denial of TACPA, EZA, or LAMBRA preference requests is not a basis for rejection of the Proposal.

Contracts awarded with applied preferences will be monitored throughout the life of the contract for compliance to statutory, regulatory and contractual requirements. The State will take appropriate corrective action to apply sanctions as necessary to enforce performance programs.

#### **4. Contractor Responsibility**

Prior to award of the contract, the State must be assured that the selected Contractor has all of the resources to successfully perform under the contract. This includes, but is not limited to:

- Personnel in the numbers and with the skills required.
- Financial resources sufficient to complete performance under the contract.
- Experience in similar endeavors.

If, during the evaluation process, the State is unable to assure itself of the Bidder's ability to perform under the contract, if awarded, the State has the option of requesting from the Bidder any information that the State deems necessary to determine the Bidder's responsibility. If such information is required from the Bidder, the Bidder will be so notified and will be permitted approximately three (3) working days to submit the information requested.

If the information submitted by the Bidder, or available from other sources is insufficient to satisfy the State as to the Bidder's contractual responsibility, the State may ask for additional information or reject the bid and select the bid with the next highest score from a responsible Bidder. The State's determination of the Bidder's responsibility, for the purposes of this RFP, shall be final.

If any of the information submitted by the Bidder is identified as confidential, it shall be treated as such by the State and returned when the Bidder's responsibility has been determined.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **5. Period of Performance**

The period of performance of the Contract resulting from this RFP will be five (5) years from the Contract execution date. At the State's option the contract may be extended for up to three (3) one-year periods at the same terms and conditions.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **6. Executive Committee**

After award of the contract and during the course of the contract, should the Contractor Project Manager and the State Project Manager not be able to agree on a resolution to a particular issue, the Contractor and the State agree to raise the issue to an Executive Committee prior to the assertion of rights under the Contract's dispute provisions. The Executive Committee shall consist of:

- DGC Director or designee
- CGCC Director or designee
- DOJ Chief Information Officer or designee
- Senior representative from the Contractor's firm that is at least two (2) reporting levels above the Contractor project manager, or the designees or successors thereof.

The Executive Committee will be convened and a resolution decided within five (5) business days from the date that the Executive Committee is convened. The Contractor Project Manager or the State Project Manager may request the Executive Committee to convene, and the committee will convene in person or by telephone within three (3) business days of such a request. The Executive Committee will use whatever resources it deems necessary to seek a rapid and just resolution to every issue. If resolution cannot be reached at the Executive Committee level within the time frame prescribed above, either party may assert its other rights and remedies as provided by the Contract.

**Bidder agrees to the above requirement?**      YES \_\_\_\_\_      NO \_\_\_\_\_

## **7. Special Business Considerations**

The CGCC and the DGC are subject to a Memorandum of Understanding (MOU) that guides their interaction on all matters pertaining to the Gambling Control Act. The CGCC and DGC will jointly administer the proposed solution (with the technical assistance of the Hawkins Data Center). Since this is a joint application, a major goal is to avoid unnecessary duplication of effort and to provide for the efficient establishment and operation of a jointly owned information System by the two agencies. All decisions effecting access to the System are subject to this MOU. The Contractor shall always be aware that this MOU identifies strict guidelines for access to, confidentiality, and security of the System. A copy of the MOU is included as [Appendix I, Memo of Understanding between CGCC/DGC, page 94](#), for Bidders to review. The Bidder must assure the LIS project team in the Proposal that its COTS implementation in no way compromises the MOU. By checking yes the Bidder COST implementation in no way will compromise the MOU.

**Bidder agrees to the above requirement?**      YES \_\_\_\_\_      NO \_\_\_\_\_

## **8. Unspecified Travel Costs**

Travel costs that are not specifically required in this RFP will not be reimbursed by the State. If the Bidder anticipates needing to travel to meet the requirements of this RFP, it is responsible for making sure its Proposal amounts cover its needs.

**Bidder agrees to the above requirement?**      YES \_\_\_\_\_      NO \_\_\_\_\_

## 9. Liquidated Damages

The Bidder agrees that, in addition to all other remedies available to the State, the State may collect Liquidated Damages in the amounts, and under the circumstances, specified below:

### Failure to Meet Key Deliverables

If the Contractor does not meet one or more of the Key Deliverables listed below, or if a milestone deliverable is not acceptable to the State, the State may assess the Contractor Liquidated Damages in the amount of \$2,500 per calendar day for each deliverable date not met from the original deliverable date until the Contractor delivers an acceptable deliverable and the State accepts the deliverable.

Key Deliverable:

- The Business Solution see, [Section II-B-5, Proposed Business Solution, page 34](#) must be installed and fully operational within 180 days of Contract Execution.

The State may deduct monies owed for the Liquidated Damages from invoices as necessary to offset any amount of Liquidated Damages owed.

The State will notify the Contractor, in writing, prior to Liquidated Damages being invoked. However, should the State fail to do so, the Liquidated Damages will still accrue. The State will provide the Contractor a complete accounting for all Liquidated Damages prior to deducting Liquidated Damages from monies owed the Contractor.

<b>Bidder agrees to the above requirement?</b>	<b>YES</b> _____	<b>NO</b> _____
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## 10. Work Authorization Rates

The Contractor will follow a Work Authorization process for any work activities not included in the Statement of Work for this RFP. The Work Authorization process is described in the Contract.

Compensation for Work Authorization activities shall be based on the "hourly labor rates," listed in [Section III-C-4, Cost Sheet 4 - Work Authorization Rates, page 49.](#))

<b>Bidder agrees to the above requirement?</b>	<b>YES</b> _____	<b>NO</b> _____
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## 11. Contractor Staff Location

The Contractor's Project Manager or DOJ approved designee(s) is required to work on-site at 4949 Broadway, Sacramento, California until the LIS is accepted. The DOJ will provide the Contractor with working facilities for up to four (4) individuals and

network connectivity necessary for its performance under this contract. The Contractor will provide workstations (with appropriate operating system as defined in the Contractor's Technical Architecture in their Proposal) to connect to the DOJ network. The DOJ will give the Contractor controlled access to the DOJ network. Controlled access will be defined by the DOJ security policies. The Contractor will work Monday to Friday, between the hours of 7:00am and 6:00pm, unless otherwise arranged with the State Project Manager in writing. The Contractor or Sub-Contractor personnel working on-site must be fingerprinted and pass a background clearance. This is accomplished by completing the "Request for Live Scan Service" form, the "JUS 107" form, the "Key Card" Form, and the "Department of Justice Security and Disclosure Certification", refer to [Appendix J, Security and Disclosure](#), page 95.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **12. Sub-Contractor Changes**

The Bidder shall not change Sub-Contractor(s) if such changes conflict with the work to be performed under this contract. The State recognizes that changes to Sub-Contractor(s) may be necessary and in the best interests of the State, however, the State must approve any changes to the Sub-Contractor(s). This process typically takes about seven (7) days. For DVBE Sub-Contractor changes, the Bidder shall utilize another State certified DVBE Sub-Contractor.

The Contractor must supply the State Project Manager with detailed resumes and three (3) corporate references for similar work performed and completed by the Sub-Contractor(s). The State will check all references and approve all resumes.

The State will not compensate the Bidder for any of the Contractor's time or effort to educate or otherwise make the new Sub-Contractor(s) ready to begin work on the contract. The amount of time to educate the new Sub-Contractor(s) will be negotiated at the time the change is requested.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **13. Staffing Changes**

The Contractor shall not reassign Contractor Key Personnel if such reassignment will conflict with the work the individual is to perform on this contract. The State recognizes that resignation or other events may cause a Contractor team member to no longer be available to the Contractor. If this should occur, the Contractor should be aware that the State Contract Administrator or designee must approve any changes to Contractor Key Personnel to the contract prior to Contractor staff beginning work on the Contract.

This also includes substitutions made between submittal of the Final Proposal and actual start of the contract, as well as staffing changes that may be made during the course of the contract.

Any replacement personnel proposed during the life of the contract must meet or exceed the skill level that the Contractor proposed and was scored on. A resume must be submitted for any change in proposed replacement personnel. The State may require an interview.

The State will not compensate the Contractor for any of the Contractor's time or effort to educate or otherwise make the new staff ready to begin work on the Contract. The amount of time to educate the new Sub-Contractor(s) will be negotiated at the time the change is requested.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **14. Meetings**

The Contractor shall attend weekly or biweekly (as determined by the State after Contract Award) meetings with the State, at the State's option, during the development stage (i.e., Contract Award through full System implementation). After System implementation, up to six (6) separate physical face-to-face meetings may be held annually, at the State's option.

Each of these meetings may be up to two (2) days in length and will be located in Sacramento, California at a State supplied facility. The Contractor Project Manager and Operations Manager must be in attendance at these meetings. The Contractor shall be responsible for their own expenses to attend these meetings. There shall be no cost to the State.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **15. Weekly Progress Reports**

The Contractor Project Manager shall prepare and submit Weekly Progress Reports beginning on the second week after Contract Execution through three (3) months after Acceptance of the last Module implemented by the State, see [Appendix K. Progress Report](#), page 96.

Progress reports shall address the overall status with respect to the project schedule and shall provide progress information on all completed, ongoing, and planned Contract activities.



Every report should have a current project schedule attached that incorporates planned and actual start and end dates, percentage complete, and dependencies. These reports shall summarize any outstanding issues or obstacles and detail any proposed deviations from planned activities, schedules, budgets, or staffing.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **16. Standards for Acceptance of Deliverables**

### **a) Work Standards For the Project**

- The Contractor shall use Microsoft Office 2000 and Microsoft Project 2000 in the preparation of all contract correspondence and deliverables. The Contractor is required to establish and maintain compatibility with the State at no cost to the State.
- The Contractor shall propose a format for each deliverable and gain State approval prior to deliverable preparation. This approval process shall include submission of a Deliverable Expectation Document (DED) for each deliverable so identified by the Contractor in the Contract Deliverables Table submitted with the Final Project Schedule and approved by the State. The goal for the use of DEDs is to ensure that a common understanding exists between the State and the Contractor regarding the scope and content (depth and breadth) of the deliverable prior to the Contractor beginning work on the deliverable. The complexity of the DED should be proportional to the complexity of the deliverable. The DED will contain at a minimum the following items:
  - Define the objectives of the DED.
    - An outline of the deliverable, e.g., table of contents, sample format, sample pages, and a general description of the information that will be contained in the deliverable.
    - Deliverable acceptance criteria that is consistent with the requirements of the contract.
    - Deliverables shall be provided by the scheduled dates for their completion. The Bidder must make available all deliverables electronically and supply five (5) hard copies of each deliverable.
- Deliverables shall contain the following certification: "I certify that this deliverable has been prepared in accordance with the relevant terms and conditions of the contract." Deliverables shall be signed as completed by the Contractor Project Manager.

**b) State Acceptance of Deliverables**

State personnel will be responsible for reviewing and approving each deliverable. Each deliverable will require a negotiated State turn-around time to be included in the project schedule. Unless agreed upon otherwise, the State's review time shall not be less than five (5) business days. Should revisions to the document be required by the State, the Contractor will receive written notification of said changes and reflect them in the document within two (2) business days of receiving the changes. The State may, at its discretion, allow a period longer than two (2) business days in consideration of the scope of the change. The Contractor may not change a deliverable that has been accepted by the State without the approval of the State.

State acceptance shall be based upon the following:

- The deliverable must address all components required by the contract and any areas agreed upon subsequently through meetings and planning sessions.
- The deliverable must address and be consistent with all components included in the DED as presented to the State and approved by the State in preparation for development of the deliverable, if applicable.
- Deliverable documents must be comprehensive in level of detail and quality consistent with the sample pages presented to the State Contract Administrator.
- Deliverable documents must be organized in a structured manner and be professional in presentation.
- Deliverable documents must be consistent throughout in style and quality. This means that if the document is the composite work of many people within the Contractor's organization, the document must be edited for style and consistency.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## **B. Statement of Work**

### **1. Background**

The CGCC and the DGC are conducting this procurement to support their need to undertake a substantially increased regulatory workload. They share a need to access information from one central database for reporting, planning and budgeting.

Both jointly share responsibility of processing licensing applications, work permits, and other gaming related monitoring and are conducting this joint procurement to obtain a Commercial Off-The-Shelf (COTS).

DGC and CGCC conducted a market survey to determine if there was and concluded that there are at least three COTS software solutions currently in use by a state or local government regulatory agency with responsibilities similar to those of CGCC and DGC. The three COTS software solutions are System Automation Licenses 2000 (and ancillary products), IDPoint, and CAVUCorp's Integrated Licensing Software.

For this procurement, the DGC and CGCC require the Bidder to implement one of these three COTS software solutions or an equivalent COTS software package. The application will be known as the License Information System (LIS).

In addition to cost the Bidders Final Response to the following requirements will be used to determine the winning proposal:

- Corporate Experience
- Proposed Key Personnel
- Project Management Plan
- Proposed Business Solution
- Proposed Technical Architecture.

## **2. Corporate Experience References (Scorable)**

Bidders are required to complete Corporate Experience References (see [Section III-B-2, Corporate Experience References](#), page 46, and [Appendix B, Exhibit 5, Corporate Experience Reference Form](#), page 66, and include them as part of the Final Proposal. Recent projects are defined as projects that have been completed within 5 years of the Final Proposal Due Date for this RFP by the Bidder and/or their Sub Contractors. References must be similar in size, scope, and type of the project specified in this RFP. The State will contact the listed clients to confirm the information provided by the Bidder and determine client satisfaction with the outcome of the project. This information must be provided for each reference in order to be eligible to receive full credit.

To receive the maximum number of points for each referenced project, the entire form must be completed. If an item does not apply, indicate with "n/a" and include a brief explanation.

Corporate experience must include the implementation, installation, training, maintenance, and current operation of the System provided by the Bidder in other state or local government gambling regulatory agencies. Only references from state and local government agencies are acceptable. References from private-sector customers will not be accepted. This requirement is necessary to ensure that Bidders

have had appropriate experience in managing and meeting the complexity and demands of government software projects.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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### **3. Proposed Key Personnel (Scorable)**

The Bidder shall provide Proposed Key Personnel experience summaries and references. The State anticipates that the Bidder will propose a project team composed of the best-qualified staff for the contract. The State has designated two (2) positions as Proposed Key Personnel: the Contractor Project Manager and the Contractor System Technical Lead.

- For each position, the Bidder shall specify the name and provide a detailed resume that shows the experience of the person being proposed that meets all of the State's minimum requirements of the Proposed Key Personnel. The resume must including references for all work performed by the Proposed Key Personnel that is used to meet the minimum requirements. All resumes shall be structured in a consistent format.
- The Bidder must complete and submit a Proposed Key Personnel Resume Summary form for each Proposed Key Personnel (see [Appendix B, Exhibit 6, page 68](#)) including references. References must be provided for all of the proposed Bidder Key Personnel of all experience cited to meet the requirements of this RFP. Information or lack of information obtained from references will influence the State's evaluation of the Bidder's Responsibility.

For each position, the Bidder's Proposed Key Personnel shall have, as a minimum requirement, experience in the general areas of responsibility listed for that position.

#### **a) Contractor Project Manager - General Areas of Responsibility**

- The Contractor Project Manager will be responsible for the day-to-day management of the contract services, including overall performance and contract compliance.
- The Contractor Project Manager will also be responsible for managing and coordinating the Bidder resources, including any sub-contractor resources, assigned to the contract, and ensuring that all tasks in the project schedule are executed in keeping with the schedules and State requirements.
- The Contractor Project Manager will identify problems, any potential problem areas, recommend solutions, and work closely and cooperatively with the State to resolve issues quickly and fairly.
- The Contractor Project Manager will also provide the State with biweekly written status reports regarding actual progress as compared to what is

projected in the work plans see [Appendix K, Progress Report](#), page 96. The Contractor Project Manager is responsible for quality control over all deliverables submitted for review.

b) Contractor Project Manager - Minimum Requirements

Five (5) years of experience as a Project Manager with at least two years in the development and implementation of a statewide gambling licensing system.

c) Contractor Project Manager - Desirable Requirements

- Project Management Institute Project Management Professional (PMI PMP®) certification. The Bidder must include a copy of the PMI PMP certification in the Proposal.
- Experience developing applications for state, local, and/or federal government agencies.

d) Contractor Technical Lead – General Areas of Responsibility

- The Contractor Technical Lead will be responsible for developing the System Architecture and integration for all the components relating to the proposed solution.
- The Contractor Technical Lead will also be responsible for ensuring that technical solutions for hardware, software, LAN, WAN, telecommunications, and all other necessary technical elements of the application will be implemented successfully.

e) Contractor Technical Lead - Minimum Requirements

- A minimum of five (5) years experience performing technical oversight for the implementation of applications within a networked n-tier environment, with at least three (3) years experience implementing the COTS software proposed for this RFP, for a public agency gambling regulatory environment.

f) Contractor Technical Lead - Desirable Requirements

- Three (3) years application development experience developing in the preferred technical environments required for this System (see [Section II-B-6, Preferred/Supported Technical Environment and Specifications](#), page 43).

<b>Bidder agrees to the above requirement?</b>	<b>YES</b> _____	<b>NO</b> _____
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#### 4. Project Management Plan (PMP) (Scorable)

The Bidder shall provide in its Proposal, a proposed Project Management Plan (PMP) that meets the specifications described in this RFP (see [III-B-4. Proposed Project Management Plan](#), page 47), and which will serve as the basis of a Contract PMP, which will be the controlling document for managing the project should the Bidder be awarded the contract. The selected Contractor shall develop and submit for State approval a Contract Project Management Plan (PMP) within ten (10) business days after Contract Award.

Both the Proposed and Contract PMP shall be based on an industry accepted methodology, such as the Project Management Institute's *Project Management Body of Knowledge (PMI PMBOK®)*, or the Institute of Electrical and Electronics Engineers (*IEEE*) 1058, *Standard for Software Project Management Plan* model. The Proposed PMP must be compatible with Microsoft Word and must contain, at a minimum the following:

- Project Management Methodology Overview – This section of the PMP should contain a description of the Bidder's overall project goals and objectives.
- Workplan (High-level tasks with milestones) – This section of the PMP should contain a high-level project work plan that defines the major tasks necessary for project completion. The high-level tasks must be outline with the major milestones, estimated start and completion dates, and deliverables.
- Staffing Plan - This section of the PMP should present the Bidder's assumptions for estimating the staff resources necessary to meet the needs of the State. It shall also describe how Bidder staff will be organized, managed, and where they will be located. This section shall include an organization chart that shows all Bidder units, functional task assignments, and the proposed lines of authority and communication with the Bidder's team. This section must include information identifying any sub-contractors that the Bidder is planning on using for this Contract. This section shall also define the internal process by which all Bidder work performed is reviewed and approved. It shall also describe how the Bidder's team will interact with State personnel. In addition, it shall describe the Bidder's management structure and its methods for ensuring adequate oversight and executive direction for the contract. In addressing this area, the Bidder shall identify the corporate officer(s) to be contacted in the even that major problems arise during the performance of the Contract.
- Issue Management Plan – This section of the PMP shall describe how the Bidder will assess the impact of issues on the Contract, report this information, and make recommendations to the State for resolving these issues. An issue is defined as a topic or concern that may affect Contract scope, risk, schedule, cost, and/or system quality or functionality and can be resolved through action. Issues may originate from inside and outside of the project.
- Change Management Plan – This section of the PMP shall describe how the Bidder will work with the State to establish appropriate change control procedures.

The plan shall describe the staff that will be involved in the change control process, including the staff member ultimately responsible for authorizing changes to the Contract. The plan must provide for an authoritative State role in the Change Management process, recognizing no changes will be made without written approval by the State Contract Administrator or designee. Change requests shall include problem descriptions, areas affected, issues, risks, recommended solutions, anticipated costs, all anticipated staff-hours, and projected implementation timelines. The Bidder shall also accept change requests from the State.

- Implementation Methodology – This section of the PMP shall describe the approach that will be used to implement the business functionality required by the RFP. Topics that should be addressed include, but are not limited to, site preparation, training, and system roll-out.
- System Test Methodology – This section of the PMP shall describe the Bidder's System Testing Methodology, such as the strategy to be used for creating and populating the test database and maintaining the files during the iterative testing, a description of the planned levels of testing proposed for the project, and a description of how final acceptance testing and user sign-off will be accomplished.
- Progress Reporting Methodology – This section of the PMP shall describe the Bidder's methodology for monitoring performance and providing progress reports to the State.

<b>Bidder agrees to the above requirement?</b> YES _____      NO _____
--

## **5. Proposed Business Solution (Pass/Fail)**

The Bidder shall provide as part of its Proposal a detailed Proposed Business Solution that will demonstrate how the Bidder intends to meet the following requirements of this RFP.

### **a) Mandatory Modules (Pass/Fail)**

The selected Contractor will be required to use its COTS application to implement a fully integrated system that provides the following Mandatory Modules in support of the LIS Project Functions & Specifications of the CGCC and DGC. These LIS Project Functions & Specifications were used to evaluate System Automation Licenses 2000 (and ancillary products), IDPoint, and CAVUCorp's Integrated Licensing software to determine if they could meet the agencies business needs. Bidders who propose a COTS software solution other than one of these three will be required to demonstrate that the proposed COTS software meets the LIS Project Functions & Specifications refer to [Appendix G](#), page 89.

A Module is a set of business rules or object code that performs specific functionality. All Modules must be installed and operational within 180 days of the Award of Contract.



<b>Mandatory Module</b>	<b>Function ID</b>	<b>Function Description</b>
Gambling Regulatory Automated Licensing Application	1	Card Room License and Application Renewal
	2	Card Room Work Permit Application
	3	DGC Compliance and Enforcement
	4	Tribal Casino Information
	6	General Tribal Data
	11	Ad Hoc Reporting and Data Extraction
	13	Card Room Key Employee Application and Renewals
	14	Tribal Key Employee Finding of Suitability and Renewal
	15	Third-party Proposition Player Owners Application and Renewal
	16	Third-party Proposition Player Manager/Supervisor
	17	Third-party Proposition Player Observers Application and Renewal
	18	Third-party Proposition Player Players Application and Renewal
	19	DGC Third-party Proposition Player Contracts
	22	Card Room Temporary Table Requests
	23	DGC Card Room Game Review
Regulatory Agency Automated Fee Collection Funds Processing Applications	24	Fee and Funds Processing
Gambling Regulatory Automated Audit	7	DGC Proactive Audits

	8	CGCC Audit and Compliance Revenue Sharing Trust Fund (RSTF)
	9	CGCC Special Distribution Fund (SDF) Audit
	10	CGCC Card Room Audit
Gaming Device Automated Inventory and Tracking Application	5	Gaming Resource Suppliers Finding of Suitability and Renewal
	20	Gaming Device Manufacturers Registration and Renewals
	21	Gaming Device Shipment Tracking
Time Accounting/Billing for Investigators and Auditors		Daily Time Reporting Process and Approval to track time to an event

**Bidder agrees to the above requirement?      YES \_\_\_\_\_      NO \_\_\_\_\_**

**b) Software Development and Implementation (Pass/Fail)**

The development environment for the COTS product will be in either of the two technical environments described in [Section II-B-6, Preferred/Supported Technical Environment and Specifications](#), page 43. These two environments constitute the two development environments that the HDC, DGC, and CGCC are prepared to support over the long term. These environments represent strategic investments on the part of the three organizations and deviation from them is not acceptable.

The hardware for this system will be purchased by HDC based on the configuration requirements provided by the selected Bidder. HDC is the Law Enforcement Data Center for the State of California. The preferred technical environment of HDC is UNIX/Oracle/Java. Additional points will be awarded to a Bidder who can deliver one of these COTS software solutions in this environment.

The preferred customized COTS product must rely on a “thin client” approach. “Thin client” is defined as a strategy that relies on a browser (Internet Explorer

only) to provide a graphical end-user application interface to an application server (middleware and database) that will reside at HDC with communications provided to and from the application server via TCP/IP based networking. Application security must be provided using an intranet approach.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

c) System Requirements (Pass/Fail)

- Permit data update, storage and retrieval of the estimated 32,000 applications, renewals, and other gaming related data each year on personal computers that are also used to access other DGC/CGCC applications and to conduct DGC/CGCC business.
- The technical architecture proposed by the Bidder shall be scaleable.
- Support simultaneous access for multiple users (at least 50) for the reading and update of data.
- The Bidder shall perform all system development activities (e.g. analysis, design, development, testing, implementation, and operations) and perform all ongoing operational activities to implement the LIS Project Functions and Specifications.
- The COTS must have been in use for a minimum of 3 (three) years.
- The Contractor shall develop a LIS application that will provide forms and reports that are functionally comparable to those in [Appendix F, Sample Reports, Forms and Screens](#).
- Migrate the existing data from MAPPER, excel spreadsheets, and MS Access databases.
- Support extensible records with the ability to add and customize fields.
- Provide complete on-screen training, administration and technical references.
- The time required to store or retrieve license data shall be no more than five (5) seconds, excluding Wide Area Network transit time, at any workstation connected to the LIS application.
- Document Imaging Functions:  
The System shall allow staff to do document imaging at a rate of 40-50 documents per minute.

System must scan, display and print bytonal/grey scale images on dual-sided paper (sizes 8 ½ x 11 and 8 ½ x 14)

The System must scan and store PDF or JPG at a minimum of 150 DPI with no greater than 20% loss.

System shall provide indexing capability to ensure each image is associated with a database record.

System shall provide the ability to store electronic content into electronic file folder.

Scanned images would be stored on a database for a minimum of 5 years.

System must provide a method for back-up, retrieval and archiving of file storage.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

d) Application Customization Concepts (Pass/Fail)

Customization to meet the business needs of LIS is to be limited in scope and technical implementation. Customization of the COTS product is to be limited to the addition, modification, and deletion of elements of the underlying database, forms, and reports. Application source code—defined, as any script, compiled source, or Just In Time (JIT) source base—will not be modified in the implementation. This provision is designed to eliminate the need for a “California” version of the source code of the COTS product and prevent or delay successful implementation of future versions of the underlying COTS product.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

e) Conversion and Data Migration (Pass/Fail)

Primary data from the CGCC supporting its current applications is now maintained in Microsoft Access with some supporting information contained in Microsoft Excel. This data includes:

- Card Room Information
- Card Room licensees (owners and shareholders)
- Card Room key employees
- Card Room work permits and renewals
- Card Room designated agent/employees

- Card Room mailing addresses
- Gaming device manufacturers and locations
- Gaming device shipments
- Tribal operations (casinos)
- Tribal key employees
- Tribal mailing addresses
- Third-Party Proposition Owner/Player Data

The Contractor will migrate and convert (if necessary) data in the current System into the new LIS. All current Commission Microsoft Access databases and their data, forms, and reports will be made available to the selected Contractor to support this migration.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

f) Database Security (Pass/Fail)

The LIS represents the critical store of information and data regarding gambling activities within the State of California and it will store many key pieces of operational and confidential data. Given that a successful solution will utilize networked computers, system and application security is a paramount concern. The following items represent a minimum of tasks and requirements needed to ensure a high level of system and application security.

- All users must have individual logon IDs and passwords.
- All users must have ability for individuals to change their passwords.
- End-users of the System must have single logons.
- The Contractor's application must use internal database product security.
- Users must be grouped into functional areas so that database access can be managed.
- The System must allow DGC and CGCC to maintain their own separate user IDs and passwords.
- Locking of row-level records for updating and deletion must time out.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

g) Training (Pass/Fail)

The Contractor shall develop and submit for State approval a Training Plan according to the following:

- Upon State approval of the Training Plan, the Contractor shall provide training to 180 State personnel (150 at the DGC, 25 at the CGCC, and 5 at the HDC) regarding all functionality of the LIS (e.g. administrator, user) by the date specified in the State-approved project schedule.
- The State estimates future training requirement after the first year to be 5 State personnel at DGC, 3 at the CGCC and 1 at HDC.
- The Contractor shall develop and submit for State approval all LIS training materials and user manuals by the date specified in the State-approved project schedule.
- The Contractor shall provide updates of LIS training materials and user manuals.
- The Bidder shall provide the State with four (4) color hard copies and 4 CDs containing electronic copies of training materials developed for another regulatory Agency's implementation of the product in their Proposal.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

h) Future Maintenance (Pass/Fail)

The Contractor will design and implement the LIS application in a test environment provided by HDC and in the State's production environment so as to enable the State to develop any and all future updates to the application in the test environment and then load them into the production environment without disrupting day-to-day LIS operations.

For the duration of the contract, the Contractor will make any modifications/updates through the Work Order Process in such a way as to enable the LIS application to continue to operate without disruption while implementing updates.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

i) Documentation (Pass/Fail)

Documentation must be sufficient to ensure that all HDC LIS Project support, CGCC and DGC employees are able to operate their designated portion of the

System and application. This includes, but is not limited to, the following components:

- Manual hard-copy (may be provided on CD).
- Online help (HTML-based).
- Documentation of all processes, actions, functions, reports, online forms, code tables, database schemas, backup, and recovery as they apply to:
- End-user: data entry and output
- System Administration
- Application management: operations
- Database management operations (including backup and recovery) and modifications

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

j) Testing Requirements (Pass/Fail)

The Contractor will use an automated testing system to test all changes to the System and will provide results of such tests to the State upon request as part of the Change Management System (CMS).

For the life of the contract, the Contractor will provide the LIS project team access to an ongoing test version of the application to conduct its own tests for such things as verifying that changes to the application have been properly completed.

The LIS project team will provide responses regarding such tests to the Contractor on a timely basis and/or will coordinate and prioritize the testing of changes for purposes of management of testing.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
---

k) Project Schedule (Pass/Fail)

The Contractor will be required to submit a final Contract Project Schedule to the State for approval within ten (10) State working days after Contract Award. During that 10-day period the State will work with the Contractor in making a smooth conversion from the Proposed Project Schedule to the Contract Project Schedule.

The Proposed Project Schedule shall be compatible with Microsoft Project.

<b>Bidder agrees to the above requirement?</b> <b>YES</b> _____ <b>NO</b> _____
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## 6. Preferred/Supported Technical Environment and Specifications (Scorable)

The HDC supports both a Java/Unix Production and Microsoft Production environment. The preferred technical environment of HDC is Java/Unix (See [Appendix H – Technical Description page 90](#)). The Bidder shall provide support for one of the following technical environment and specifications.

a) Java/Unix Production Environment (HDC Preferred)

- Operating System Unix Sun Os 5.8 Server
- Database Unix Sun 4500 Oracle 9i
- Application server Unix Sun A120 Oracle 9i AS
- Web server Unix Sun A120 Oracle 9i OHS
- Web Browsers IE (version 5 and higher)
- J2EE Version V1.4

b) MS Production Environment

- Operating System MS Windows 2000 Server
- Database MS SQL Server 2000
- Web server MS IIS (requires additional purchase of eEye Secure IIS Application Firewall software)
- Web Browsers IE (version 5 & above)
- Framework ASP or .NET

<b>Bidder agrees to the above requirement?</b>	<b>YES</b> _____	<b>NO</b> _____
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## SECTION III - Proposal Contents and Submission

### A. Overview of The Proposal Process

#### 1. Draft and Final Proposals

The response to this RFP is being managed in two stages, a Draft Proposal and a Final Proposal. The purpose is to give Bidders a chance to submit a Draft Proposal, and then meet with the State for Confidential Discussions to clear up any defects observed by the Evaluation Team before submitting a Final Proposal.

In the Draft Proposal, the Bidder will submit the DVBE submission forms and “Volume 2—Cost Proposal” with complete information but without dollar amounts. All dollar amounts will be included only in the Final Proposal.

#### 2. Submission Date and Time

The Bidder must submit the Draft and Final Proposals by the dates and times specified in [Section I-G, Key Action Dates](#), page 12 and as specified in [Section I-C-3, Bidding Steps](#), page 7, and [Section I-C-4, Delivery of Proposals](#), page 9.

#### 3. Number of Copies

For the Final Proposals Volumes 1 & 2, the Bidder must submit a Master Copy of the Proposal plus 11 copies (12 total). For Volume 3 a Master and 7 copies (8 total) are required. For each Proposal, the Master Copy must be marked “Master.” Failure to submit a clearly marked Master Copy and 11 copies may be cause for the Final Proposal to be rejected.

#### 4. CD-ROM

In addition to submitting a Master Copy and 11 copies, the Bidder must submit an electronic copy of the Proposal on CD-ROM in each copy of the Final Proposal.

The submission must consist of Microsoft Word 2000, Microsoft Project 2000, and Microsoft Excel 2000 documents.

Cost information must be provided on a sealed separate CD placed in “Volume 2 Cost Proposal.”

## 5. “Volume 2—Cost Proposal” (sealed separately)

Volume 2 of the Proposal must be clearly labeled “Volume 2—Cost Proposal” and must be sealed separately from the other two volumes. The State Evaluation Team will not open Volume 2 until after it has evaluated, scored, and posted the Total Bidder Scorers for “Volume 1—Response to Requirements.”

## 6. Document Content and Organization

The Final Proposals must include the following contents and be organized in the following way:

### a) Contents

- Three volumes (1, 2, and 3)
  - Volume 1 – Response To Requirements (Final Proposal)
  - Volume 2 – Cost Proposal sealed separately
  - Volume 3 - Contract
- A “Master Copy” and 11 copies of Volumes 1 and 2. A Master Copy of Volume 3 and 7 copies.
- Copy of Volumes 1 and 3 on the same CD-ROM.
- Copy of Volume 2 (Cost) on a sealed **separate** CD-ROM.

### b) Organization

The Bidder must organize each Proposal in the following order.

#### **Volume 1—Response to Requirements**

- Proposal Transmittal Form
- Corporate Experience References
- Proposed Key Personnel
- Proposed Project Management Plan
- Response to Requirements
- Proposed Business Solution
- Proposed Technical Architecture
- DVBE Participation Forms

#### **Volume 2—Cost** (sealed separately and **without** cost in the Draft Proposal)

- Cost Sheet 1 - Software
- Cost Sheet 2 - Training

- Cost Sheet 3 – Combined Total Cost
- Cost Sheet 4 - Work Authorization Process
- Cost Sheet 5 - Elements Required by the State
- Electronic copy of Volume 2 on CD-ROM.

**Volume 3—Contract**

- Completed Contract
- Standard Agreement Form 213
- Electronic copy of Volumes 1 and 3 on CD-ROM. The requirements for each volume are explained in III-B, -C, and -D below.

## **B. Volume 1 — Response to Requirements**

Volume 1 must include *Section II, Response to Requirements* from this RFP. The Bidder must attach Section II (in its entirety) and insert it into the Final Proposal. All modules in Section II are mandatory and must be implemented within the first 180 days after the award of the contract. Failure to respond to a requirement may cause the Final Proposal to be rejected.

The Bidder must certify a commitment to meet each requirement under the direction of State management within the prioritized timeframes specified for the LIS Project Functions & Specifications while adhering to all specified standards and maintenance procedures as identified in each requirement and later finalized and agreed to by the State.

In addition this Volume must include the following contents in the order shown.

### **1. Proposal Transmittal Form**

The Bidder must complete the Proposal Transmittal Form ([See Appendix B, Exhibit 1, page 64](#)) and include it in the Final Proposal.

### **2. Corporate Experience References**

The Bidder shall provide corporate experience references (See [Appendix B, Exhibit 5, Corporate Experience Reference Form](#)), page 66) in the Final Proposal.

### 3. Proposed Key Personnel

The Bidder shall provide resume summaries of its proposed Project Manager and System Technical Lead, (See [Appendix B, Exhibit 6, Proposed Key Personnel Resume Summary](#)), page 68, in the Final Proposal.

### 4. Proposed Project Management Plan

The Bidder shall provide a Proposed Project Management Plan (PMP) in the Final Proposal.

### 5. Proposed Business Solution

The Bidder must include a Proposed Business Solution that describes in detail how the Bidder will approach each of the mandatory modules, please refer to [Section II-B-5, Proposed Business Solution](#), page 34 in the Final Proposal.

The Bidder must also describe any anticipated difficulties it foresees in implementing the Statement of Work, in [Section II-B, Statement of Work](#), page 29 in the Final Proposal.

The Bidder shall provide a Proposed Business Solution that includes, but is not limited to an overview of the Bidder's understanding of the LIS project.

### 6. Proposed Technical Architecture

The Bidder must include a description of the proposed technical architecture ([See Section II-B-6, Preferred/Supported Technical Environment and specifications](#), page 43) in the Final Proposal.

#### a) Software Components

This section must describe in detail, and at a minimum, the operating system and application.

#### b) Database Components

This section must describe in detail, and at a minimum, the Oracle and/or SQL server components that support the application.

#### c) Security Components

This section must describe in detail, and at a minimum, the required Active Directory or Light Digital Access Protocol (LDAP) support.

#### d) COTS Application Updates

This section must describe in detail, and at a minimum, the process for implementing updates.

e) Infrastructure

This section must describe in detail, and at a minimum, the infrastructure needed to support applications hardware, networking, operating system, and system software. HDC will purchase the hardware to implement the Bidder's proposed solution. HDC will evaluate the cost of the Bidder's proposed hardware configuration.

## 7. DVBE Participation Forms

The Bidder is reminded to include cost and percentage information *only* in "Volume 2—Cost" of the Final Proposal. This applies to all exhibits and all applicable DVBE forms.

The Bidder should complete one set of all forms *without* cost information for Volume 1 (Response to Requirements), and a duplicate set of exhibits and forms *with* cost information for Volume 2 (Cost Proposal).

Failure to comply with this requirement for submitting cost information may disqualify the Bidder from this procurement.

## C. Volume 2 — Cost (sealed separately)

Volume 2 of the Final Proposal must be clearly labeled as follows:

RFP CGCC 0820-141 "Volume 2—Cost"

Volume 2 must be sealed separately from Volumes 1 and 3. The State Evaluation Team will not open Volume 2 until it has evaluated and scored Volumes 1 and 3. Proposals with material deviations in Volume 1 or 3 will not be scored, and Volume 2 will not be opened.

Volume 2 cost sheets must all be completed and must include the contents shown below:

### 1. Cost Sheet 1—Software

The Bidder must specify the cost associated with their proposal for software in [Cost Sheet 1](#), page 70.

### 2. Cost Sheet 2—Training

The Bidder must specify the types of training and cost for training approximately 150 DGC employees, 25 CGCC employees, and 5 HDC employees (a total of 180 State

employees) for years 1 through 5, as well as training for new State employees who are hired during the life of the contract. See [Cost Sheet 2](#), page 71.

### **3. Cost Sheet 3—Combined Total Cost**

The Bidder must complete Cost Sheet 3 to show the total combined cost from cost sheets 1 through 3. See [Cost Sheet 3](#), page 72.

### **4. Cost Sheet 4—Work Authorization Rates**

The Bidder shall provide an hourly rate that will be used in all calculations in the Work Authorization process to determine the cost of the individual Work Authorization and will be the base amount for all future work activities not included in the Statement of Work for this RFP (see [Section II-B, Statement of Work](#), page 29).

Costs listed here must not be included in any pricing for this RFP. These are costs that the State, not the selected vendor, would be expected to accrue. See [Cost Sheet 4](#), page 73.

### **5. Cost Sheet 5—Elements Required by the State**

The Bidder must specify any hardware, system software, and/or data communications that the State will be required to provide as part of the implementation of the project software, along with a cost estimate of what it anticipates the State will have to spend, independently of this procurement, for such hardware, system software, or data communications. Costs listed here must **not** be included in any pricing for this RFP. These are costs that the State, not the selected vendor, would be expected to accrue. See [Cost Sheet 5](#) – page 75.

## **D. Volume 3 — Contract**

A “Master Copy” and seven (7) copies that includes the following items:

### **1. Completed Contract (1 copy)**

Volume 3 of the Proposal must include one (1) copy of the completed contract comprising three parts (which can be downloaded) from:

[The IT General Provisions \(Revised and Effective 01/01/04\)](#)

<http://www.pd.dgs.ca.gov/modellang/ITModules.htm>

[Statement of Work \(see Section II-B, page 29\)](#)

### **2. Standard Agreement Form 213 (STD 213)**

The Bidder must submit a Standard Agreement Form STD 213 ([See Appendix L](#), page 98):

Each copy must bear an original signature by the Bidder.

## **SECTION IV - Evaluation and Selection**

### **A. Overview**

Proposals submitted in response to this RFP will be evaluated based on Best Value to the State. Best Value to the State refers to the Proposal that in the opinion of the State meets the State's administrative and technical requirements and provides the most additional value to the State at the most reasonable overall cost to implement and operate.

Once the State has determined which Bidder's Proposal, if any, offers the Best Value, that Bidder will be selected as the Intended Contract Awardee.

#### **Draft Proposal**

The purpose of the evaluation of the Draft Proposal is to find obvious clerical errors and obvious problems with meeting the State's minimum requirements. It is not the State's intention to find all possible problems with a Bidder's Proposal, that is the Bidder's responsibility. Proposals will not be scored during the Draft Evaluation. This will give Bidders a chance to submit a Draft Proposal, and then meet with the State for Confidential Discussions to clear up any identified possible defects observed by the Evaluation Team prior to the Bidder's submission of a Final Proposal. The Bidder will also be given the opportunity to raise issues related to the RFP and discuss them confidentially.

#### **Final Proposal**

Evaluation of the Final Proposal will be to determine which Bidders have met all of the minimum requirements of the RFP, score the Bidders that are responsive and determine the Best Value solution. The points indicated in this RFP will be scored only during the Final Proposal evaluation.

### **B. State Evaluation Team**

The State has established an Evaluation Team comprised of individuals selected from DGS, the CGCC, the DGC, and the HDC. The Evaluation Team is responsible for the review, evaluation, and scoring of all Proposals.

The State may engage additional qualified individuals during the process to assist the Evaluation Team in gaining a better understanding of technical, financial, legal,



contractual, or program issues. These additional individuals will not have voting privileges, scoring privileges or responsibility for the evaluation process.

## C. Evaluation Process and Scoring

Table 2 illustrates which three scoring methods will be used for the requirements of this RFP. Those methods are points, and pass/fail.

**Table 2 Scoring—Maximum Points, Pass/Fail**

<b>Proposal Requirements</b>	<b>Maximum Points</b>
Receipt of Proposals	Pass/Fail
Completeness Check	Pass/Fail
Proposal Transmittal Form	Pass/Fail
Corporate Experience References	150
Proposed Key Personnel Resumes	100
Proposed Business Solution	Pass/Fail
Proposed Technical Architecture	100
Proposed Project Management Plan	110
DVBE Participation Program Requirements	Pass/Fail
Demonstration	Pass/Fail
Cost	455
<b>TOTAL Points Available</b>	<b>910</b>

### 1. Receipt of Proposal

The Evaluation Team will review the Bidder's Proposal to determine whether the Proposal was submitted on time, was sealed, and was properly marked.

### 2. Completeness Check

(Pass/Fail)

The Evaluation Team will review the Bidder's Proposal package to determine whether the required number of copies of the Proposal has been submitted, that they were properly marked, and that the structure and content of the Proposal are in conformance with the information requirements of this RFP.

### 3. Proposal Transmittal Form

(Pass/Fail)

The Evaluation Team will review the Bidder's Proposal package to validate that the Bidder has submitted the Proposal Transmittal Form and that it is complete.

### 4. Corporate Experience References

(Maximum 150 points)

Based on information provided by the Bidder in response [Section II-B-2. Corporate Experience References](#), page 30, the State will evaluate this requirement based on the client reference's overall satisfaction with the bidding firm's past performance.

The State will contact client references listed in the Proposal to validate the references and determine the client's satisfaction with services provided by the Bidder. It may be beneficial for the Bidder to contact its references to ensure that the contact information on the corporate experience reference form is up-to-date and that the reference will be available when the State will be validating references.

References that cannot be validated by the State will not be awarded points.

In determining the client's overall satisfaction with the bidding firm's past performance, the State will ask the reference to score their satisfaction level with each specific Gambling Regulatory Application installed by the Bidder.

#### a) Gambling Regulatory Automated Licensing Application (80 points)

Points for Gambling Regulatory Automated Licensing Application system experience will be awarded as indicated in Table 3, based on responses from each reference.

**Table 3      Gambling Regulatory Automated Licensing Application**

Client Satisfaction (scale of 1–10)	Points
Satisfaction level of 1	8
Satisfaction level of 2	16
Satisfaction level of 3	24
Satisfaction level of 4	32
Satisfaction level of 5	40
Satisfaction level of 6	48
Satisfaction level of 7	56
Satisfaction level of 8	64
Satisfaction level of 9	72

Satisfaction level of 10	80
<b>Maximum Total</b>	<b>80</b>

b) Gambling Regulatory Automated Audit Application (15 points)

Points for Gambling Regulatory Automated Audit Application system experience will be awarded as indicated in Table 4, based on responses from each reference.

**Table 4 Gambling Regulatory Automated Audit Application**

<b>Client Satisfaction (scale of 1–10)</b>	<b>Points</b>
Satisfaction level of 1	1.5
Satisfaction level of 2	3.0
Satisfaction level of 3	4.5
Satisfaction level of 4	6.0
Satisfaction level of 5	7.5
Satisfaction level of 6	9.0
Satisfaction level of 7	10.5
Satisfaction level of 8	12.0
Satisfaction level of 9	13.5
Satisfaction level of 10	15.0
<b>Maximum Total</b>	<b>15</b>

c) Gambling Regulatory Agency Automated Fee Collection & Funds Processing Application (15 points)

Points for Gambling Regulatory Agency Automated Fee Collection & Funds Processing system experience will be awarded as indicated in Table 5, based on responses from each reference.

**Table 5 Gambling Regulatory Agency Automated Fee Collection & Funds Processing Application**

<b>Client Satisfaction (scale of 1–10)</b>	<b>Points</b>
Satisfaction level of 1	1.5
Satisfaction level of 2	3.0
Satisfaction level of 3	4.5
Satisfaction level of 4	6.0
Satisfaction level of 5	7.5

Satisfaction level of 6	9.0
Satisfaction level of 7	10.5
Satisfaction level of 8	12.0
Satisfaction level of 9	13.5
Satisfaction level of 10	15.0
<b>Maximum Total</b>	<b>15</b>

d) Gaming Device Automated Inventory and Tracking Application (10 points)

Points for Gaming Device Automated Inventory and Tracking system experience will be awarded as indicated in Table 6, based on responses from each reference.

**Table 6 Gaming Device Automated Inventory and Tracking Application**

<b>Client Satisfaction (scale of 1–10)</b>	<b>Points</b>
Satisfaction level of 1	1
Satisfaction level of 2	2
Satisfaction level of 3	3
Satisfaction level of 4	4
Satisfaction level of 5	5
Satisfaction level of 6	6
Satisfaction level of 7	7
Satisfaction level of 8	8
Satisfaction level of 9	9
Satisfaction level of 10	10
<b>Maximum Total</b>	<b>10</b>

e) Gambling Regulatory Agency Time Accounting/Billing Application (10 points)

Points for Gambling Regulatory Agency Time Accounting/Billing Application system experience will be awarded as indicated in Table 7, based on responses from each reference.

**Table 7 Gambling Regulatory Agency Time Accounting/Billing Applications for Investigators & Auditors Application**

<b>Client Satisfaction (scale of 1–10)</b>	<b>Points</b>
Satisfaction level of 1	1
Satisfaction level of 2	2

Satisfaction level of 3	3
Satisfaction level of 4	4
Satisfaction level of 5	5
Satisfaction level of 6	6
Satisfaction level of 7	7
Satisfaction level of 8	8
Satisfaction level of 9	9
Satisfaction level of 10	10
<b>Maximum Total</b>	<b>10</b>

f) Maintenance (10 points)

Points for Maintenance experience will be awarded as indicated in Table 8, based on responses from each reference.

**Table 8 Maintenance**

<b>Client Satisfaction (scale of 1–10)</b>	<b>Points</b>
Satisfaction level of 1	1
Satisfaction level of 2	2
Satisfaction level of 3	3
Satisfaction level of 4	4
Satisfaction level of 5	5
Satisfaction level of 6	6
Satisfaction level of 7	7
Satisfaction level of 8	8
Satisfaction level of 9	9
Satisfaction level of 10	10
<b>Maximum Total</b>	<b>10</b>

g) Training (10 points)

Points for Training experience will be awarded as indicated in Table 9, based on responses from each reference.

**Table 9 Training**

<b>Client Satisfaction (scale of 1–10)</b>	<b>Points</b>
--	---------------

Satisfaction level of 1	1
Satisfaction level of 2	2
Satisfaction level of 3	3
Satisfaction level of 4	4
Satisfaction level of 5	5
Satisfaction level of 6	6
Satisfaction level of 7	7
Satisfaction level of 8	8
Satisfaction level of 9	9
Satisfaction level of 10	10
<b>Maximum Total</b>	<b>10</b>

## 5. Proposed Key Personnel Resumes

(Maximum 100 points)

Based on information provided in response to [Section II-B-3, Proposed Key Personnel](#), page 31, the State will evaluate the Bidder's project team in terms of team members' qualifications and experience in implementing the proposed solution in settings of a similar nature and scope to those of this procurement. The State will validate experience through reference checks.

The personnel proposed for key staff positions must meet the minimum experience requirements stated in [Section II-B-3, Proposed Key Personnel](#), page 31.

The Evaluation Team will contact the client references for each of the proposed key staff to confirm the information provided by the Bidder and to determine client satisfaction with the staff's performance.

The following factors will be taken into consideration when awarding points for this category:

- The Bidder's key personnel meet the minimum requirements, as described in the resume.
- The Bidder's key personnel experience in the technical environment proposed by the Bidder in its proposed technical architecture.
- The Bidder's Contract Managers PMI/PMP certification.
- The Bidder's Contract Mangers State, Local, Government Experience.

**Table 10 Key Personnel Experience**

Overall Rating 0-100	Points
<b>Contract Project Manager Total Points</b>	<b>50</b>
5 YRS IT Experience	35
Experience with State, Federal, and/or local government	5
PMI/PMP Certification	10
<b>Contract Project Lead Total Points</b>	<b>50</b>
5 Years IT Experience 3 Years Proposed COTS Experience	30
3 Years Experience Supporting COTS in Proposed Technical Environments	20
<b>Total</b>	<b>100</b>

## 6. Proposed Business Solution

(Pass/Fail)

Based on information provided in response to [Section II-B-5, Proposed Business Solution](#), page 34 the State will evaluate the Bidder's Proposed Business Solution. To pass, the Bidder's solution must provide a solution that is fully compatible with the State's requirements as outlined in this RFP.

## 7. Preferred/Supported Technical Environment

(Maximum 100 points)

Based upon information provided in response to [Section II-B-6, Preferred/Supported Technical Environment and Specifications](#), page 43, the State will award the maximum 100 points if the Bidder is proposing to implement their COTS software in the HDC preferred Java/Unix Production Environment. If they propose to implement in the Windows Production Environment the Bidder will receive zero (0) points.

## 8. Proposed Project Management Plan

(Maximum 110 points)

Based on information provided by the Bidder in its Proposed Project Management Plan (PMP), the State will evaluate the Proposed PMP in terms of completeness,

thoroughness, and consistency of the plan, in accordance with the requirements stated in [Section II-B-4, Proposed Project Management Plan](#), page 33.

**Table 11 PMP Evaluation Rating**

Evaluated Items	Points
Project Management Methodology Overview	5
Work plan (High level tasks with milestones)	20
Staffing Plan	20
Issue Management Plan	20
Change Management Plan	15
Implementation Methodology	20
System Test Methodology	10
<b>Total Points</b>	<b>110</b>

## 9. DVBE Participation Forms

(Pass/Fail)

The Evaluation Team will evaluate the Bidder's Proposal to determine whether it includes the required DVBE forms and cost information and whether the Bidder met the goal of 3% and/or made a Good Faith Effort to meet the goal.

## 10. Demonstration (Pass/Fail)

To assure the State that the Bidder's proposed COTS solution can meet and/or exceed the basic functionality of the California gaming regulatory environment, the Bidder may be required to provide the LIS project team with a fully functional demonstration of its proposed COTS product as part of the Final Proposal Evaluation. If one Bidder is asked to demonstrate its proposed COTS product all responsive Bidder's will be given the same opportunity. If the State requires this Demonstration the Bidder will be required to demonstrate the COTS solution in Sacramento at a State facility.

This must be an actual demonstration of the COTS product, which has been implemented in either of the two technical environments, described in [Section II-B-6, Preferred Supported Technical Environment](#), page 43.

The Bidder must make all necessary arrangements for the Demonstration and provide all necessary hardware and software. The State will provide a phone line and the meeting room.



Failure of the bidder to demonstrate that the claims made in its Final Proposal meet the requirements as stated in [Section II, Statement of Work](#), page 29, are, in fact, true may be sufficient cause for being disqualified from this procurement.

## 11. Cost Proposal Evaluation

(Maximum 455 points)

Sealed cost information will not be opened until the Evaluation Team has completed the evaluation and scored the non-cost items, and publicly posted the Evaluation scores.

If a Bidder's Proposal has been determined to have material defects in its Proposal and is declared non-responsive, the State will not open its cost package.

In addition to the costs proposed by the Bidder, the Evaluation Team will determine the cost of each Bidder's Proposal to the State for goods and services that will be provided by the State (as described in [II-B-5, Proposed Business Solution](#), page 34).

The cost section of each responsive Bidder's Final Proposal will be scored after consideration of the TACPA, EZA, and LAMBRA bidding preferences, if applicable. The Small Business preferences will be applied after technical and cost scores have been determined.

The maximum number of points that can be awarded for cost is 455.

The Bidder's cost score will be based on the ratio of its Total Combined Cost (Cost sheet 4) in relation to the total combined cost from the lowest responsive Proposal, multiplied by the maximum number of cost points (455). Table 12 shows the formula. Table 13 shows an example using the formula.

**Table 12 Combined Cost Score Formula**

Total Combined Cost (Cost Sheet 3) of <b>lowest</b> responsive Proposal		=	Bidder's cost score*
X 455			
Bidder's Total Combined Cost (Cost Sheet 3)			

\*The Bidder's cost score will be rounded to the nearest hundredth.

Table 13 is an example of this calculation process.

**Table 13 Combined Cost Score Example**

Bidder	(Cost Sheet 3) Total Combined Cost	Calculation	Bidder Score
		\$350,000 (Bidder A) x 455 (max points)	

A	\$350,000	\$350,000 (Bidder A)	455
B	\$375,000	$\frac{\$350,000 \text{ (Bidder A)} \times 455 \text{ (max points)}}{\$375,000 \text{ (Bidder B)}}$	425
C	\$420,000	$\frac{\$350,000 \text{ (Bidder A)} \times 455 \text{ (max points)}}{\$420,000 \text{ (Bidder C)}}$	380

## 12. Small Business Preference

Bidders claiming the Small Business Preference who are responsible certified small businesses will have their Proposal(s) adjusted by five (5) percent of the highest scoring responsive and responsible Proposal from a large business. The preference will be added to all certified small business' total score and will be used to determine the Final Evaluated Score.

Table 14 is an example of this calculation process.

**Table 14**      **Small Business Score Example**

Bidder	Total Points Awarded	Small Business Calculation	
Highest Large Business Point Score	850 points		
Small Business	825 points	$850 \text{ (Highest Responsive Large Business)} \times 5\% + 825 \text{ (Small Business Points Awarded)} = 867.5$	Winning Bidder

## D. Determination of Winning Proposal

The Final Proposal with the highest Total Evaluated Score will be declared the winning Proposal and an Intent to Award notification will be issued to that affect after all State approvals are attained.

## **Appendices**

## **Appendix A - Contract Terms and Conditions**

Download from DGS website: <http://www.pd.dgs.ca.gov/modellang/ModelContracts.htm>

## Appendix B - Exhibits

The following exhibits are referenced throughout this RFP. Exhibits 1, 2 and 4 through 9 are required when submitting a response.

### 1. Proposal Transmittal Form

Bidder Information		
Company name		
Company address	Street	
	City	
	State	Zip
Bidder Authorization		
Person authorized to bind the company	Name	Title
Contact information	email	Phone
Signature of authorized person		
Date of Authorization		

## 2. ADA Compliance Policy

To view online, log on to <http://www.pd.dgs.ca.gov/gsmart/ADA.htm>

Americans With Disabilities Act (ADA) Compliance

Policy of Nondiscrimination on the Basis of Disability

To meet and carry out compliance with the nondiscrimination requirements of Title II of the Americans with Disabilities Act (ADA), it is the policy of the Procurement Division (within the State Department of General Services) to make every effort to ensure that its programs, activities, and services are available to all persons, including persons with disabilities.

For Persons with a disability needing reasonable modification to participate in the Procurement process, or for persons having questions regarding reasonable modification for the Procurement process, please contact the Procurement Division at (916) 445-2500 (main office); the Procurement Division TTY/TDD (telephone device for the deaf) and California Relay Service numbers are listed below. You may also contact directly the Procurement Division contact person that is handling this procurement.

Important: To ensure that we can meet your accommodation, it is best that we receive your request at least 10 working days before the scheduled event (i.e., meeting, conference, workshop) or deadline due-date for procurement documents.

The Procurement Division TTY telephone numbers are:

Sacramento Office: (916) 322-7535

Fullerton Office: (714) 773-2093

The California Relay Service telephone numbers are:

Voice: 1-800-735-2922 or 1-888-877-5379

TTY: 1-800-735-2929 or 1-888-877-5379

Speech to Speech: 1-800-854-7784

### 3. Completed Contract (4 copies)

Download from DGS website:

<http://www.pd.dgs.ca.gov/modellang/ModelContracts.htm>

### 4. Standard Agreement Form 213 (4 with original signatures)

[\*See Appendix L, "Standard Agreement – STD 213", page 98.\*](#)

### 5. Corporate Experience Reference Form

Complete a separate Corporate Experience Reference Form for each experience category being claimed, even if the experience was gained on the same project. References must be similar in size, scope, and type of the project which were completed within 5 years of due date of Final Proposals as specified in this RFP. This information must be provided for each reference in order to be eligible to receive full credit.

If an item does not apply, indicate with "n/a" and include a brief explanation.

Corporate experience must include the implementation, installation, training, maintenance, and current operation of the System provided by the Bidder in other state or local government gambling regulatory agencies. Only references from state and local government agencies are acceptable. References from private-sector customers will not be accepted.

Submit as many reference forms as needed.

**Bidder's Corporate Name** \_\_\_\_\_

**Contact Person** \_\_\_\_\_ **Contact Phone** \_\_\_\_\_

#### Category of Experience Being Referenced

Check **one** (1) of the application types below to indicate the experience being referenced, as explained in [\*II-B-2, Corporate Experience References, page 30.\*](#)

#### Mandatory Module

- ☐ Gambling Regulatory Automated Licensing Application.
- ☐ Regulatory Agency Automated Fee
- ☐ Collection Funds Processing Applications
- ☐ Integrated Imaging
- ☐ Gambling Regulatory Automated Audit.
- ☐ Gaming Device Automated Inventory and Tracking Application.

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This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

## 6. Proposed Key Personnel Resume Summary

Key Personnel Information	
Name	
Proposed Position	
Organization associated with (check one)	<input type="checkbox"/> Prime Bidder <input type="checkbox"/> Sub-Contractor <input type="checkbox"/> DVBE
Number of years of education achieved	
Degrees held	<input type="checkbox"/> PhD <input type="checkbox"/> B.A. <input type="checkbox"/> Assoc. degree <input type="checkbox"/> Masters <input type="checkbox"/> B.S. <input type="checkbox"/> Other _____
Skills and Experience	

List skills and experiences that qualify this individual for the duties under the proposed job classification and responsibilities on the LIS project. Specify how the individual meets the minimum requirements described in [Proposed Key Personnel, II –B-3](#), page 31. (Use additional sheets as necessary.)

#### Client References

List client references for work performed during the past three (3) years which meets the minimum requirements described in [Proposed Key Personnel, II –B-3](#), page 31.

Client Name	Project Title	Start Date	End Date

7. Cost Sheets – General Instructions

Bidders shall present their proposed project costs in the formats provided in this section. If an item has no cost, enter the numeral “0” rather than leaving a blank. If any character other than a numeral is used (e.g., a dash "-") or if an item is left blank, the State will assume the item is not being provided. The Cost Sheets are to be used in the format presented in Exhibit III-1, Cost Sheets 1, 2, 3, 4, 5, 6, 7, and 8. Do not make any additions, deletions, or changes to the format of the Cost Tables.

As stated in [Section II-A-5 Period of Performance](#), page 23, payment to the Bidder will be based on the costs, fees and hourly labor rates, as stated below.

a. Cost Sheet 1 - Software

Bidders shall specify their cost to the State for the COTS software as identified in the [Section II-B Statement of Work](#), page 29. Enter the total into Cost Sheet 1 – Combined Total Cost.

Cost Sheet 1 - Software

Line #	Software	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	8 Year Total Cost
1.	<b>Total Software Costs</b> <i>Must be able to be installed &amp; operational within 180 days of award of contract.</i>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	<b>\$0.00</b>

b. Cost Sheet 2 - Training

The Bidder must specify costs for the individual categories of Training identified in the following table. The Bidders proposed costs must be sufficient to meet the requirements specified under [Section II-B-5-g, Training, page 41](#). If the Bidder specifies Other Training costs, it must provide sufficient information as to the specific nature and implementation of the Other Training. The Bidder must specify any increases in anticipated prices in each of the years following the first year up to 8 years. Enter the total into Cost Sheet 3– Combined Total Cost

Cost Sheet 2 - Training

Line #	Description	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	8 Year Total Cost
1.	Online/Electronic Training	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
2.	• Training Materials	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
3.	Onsite Instructor-Led Training	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
4.	• Training Materials	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
5.	Off-site Instructor led Training (e.g. San Diego)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
6.	• Training Materials	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
7.	Training for System/Application Updates	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
8.	• Training Materials	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
9.	Training for new/additional employees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10.	• Training Materials	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
11.	Vendor supplied site/materials*	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
12.	Other Training**	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
13.	<b>Total Training Cost per Year</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

\*The Bidder may include cost for third party training. Include the class cost per person and whether training is available in the State of California.

\*\*If the Bidder’s Proposal requires additional training, attach additional itemized tables and enter the total here.

c.     **Cost Sheet 3 - Combined Total Cost**

The Bidder will use the individual totals for the previous two (2) Cost Sheets and insert those values for each corresponding item in the following table. These costs will then be accumulated into the Total Costs item in the Table and will represent the Bidder's final, total cost bid for the proposal. This Total Cost will be used as the basis for the DVBE calculation.

**Cost Sheet 3 - Combined Total Cost**

Line #	Category	Cost Year 1	Cost Year 2	Cost Year 3	Cost Year 4	Cost Year 5	Cost Year 6	Cost Year 7	Cost Year 8	8 Year Total Cost
1.	Software (Copy from Cost Sheet 1 line 1)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
2.	Training (Copy from Cost Sheet 2 line 13)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	<b>\$0.00</b>
4.	<b>Total Costs</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
5.	<b>8 Year Total Cost</b>									<b>\$0.00</b>

d. Cost Sheet 4 - Work Authorization Rates

Beginning with Year 1 the Bidder will provide an Hourly Rate that will be used in all calculations in the Work Authorization process to determine the cost of the individual Work Authorization and will be the base amount for all future year calculations. In Years 2-8 the Bidder will provide an annual rate increase per year. The increase will be presented an increment in dollars to be added to the base Hourly Rate presented in Year 1.

Cost Sheet 4 – Work Authorization Process

Line #	Description	Hours per Year	YEAR 1		YEAR 2		YEAR 3		YEAR 4		YEAR 5		YEAR 6		YEAR 7		YEAR 8		8 Year Total Cost
			Rate per Hour	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	Rate/ Increase*	Total Yearly Cost	
	Onsite Work at HDC																		
1.	Project Manager	140	\$0.00	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	\$0.00
2	Senior Programmer	300	\$0.00	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	\$0.00
3.	Programmer	350	\$0.00	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	\$0.00
	Offsite Work at Contractor Site																		

4.	Project Manager	35	\$0.00	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	\$0.00
5.	Senior Programmer	300	\$0.00	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	\$0.00
6.	Programmer	350	\$0.00	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	0.0 %	\$0.00	\$0.00
7.	Yearly Totals			\$0.00		\$0.00		\$0.00		\$0.00			\$0.00		\$0.00		\$0.00		\$0.00

- This is the maximum allowable increase from the prior year. It shall not exceed four (4) percent in any one year. (Or you could use a California or National wage index)

e. Cost Sheet 5 – Elements Required by the State

The Bidder shall provide a good faith estimate of necessary hardware, software, data communications and any other system components required to implement the Bidder's proposed configuration for LIS Project. The Bidder is not responsible for the purchase of these items but is required to itemize and estimate the appropriate level of system resources. The Bidder must itemize any additional yearly costs that may accrue to the project over 8 years of the project.

Cost Sheet 5 - Elements Required By the State

Line #	Description	Year 1	% Maint	Year 2	% Maint	Year 3	% Maint	Year 4	% Maint	Year 5	% Maint	Year 6	% Maint	Year 7	% Maint	Year 8
1.	Hardware	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	1.	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	2.	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
2.	System Software	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	1.	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	2.	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
3.	Data Communications	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	1.	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	2.	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
4.	Cost per Year	\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00		\$0.00
	Total 8-Year Cost															



## Appendix C - Glossary of Terms

The acronym following each term indicates the following:

CGCC — California Gambling Control Commission

DGC — Division of Gambling Control

DGS — Department of General Services

HDC — Hawkins Data Center

ACII [DGC]— Automatic Criminal Intelligence Index. A computerized index (maintained by the California Department of Justice, Bureau of Investigation, Intelligence [BII] Unit) that references intelligence information gathered from a variety of field sources (both law enforcement and informant). An ACII search is conducted on the owners, officers, and key employees of businesses with which the applicant is affiliated.

ADA [HDC]—Americans with Disabilities Act. A Federal civil rights law that prohibits discrimination against individuals with disabilities.

Applicant [CGCC]—An individual or entity that applies for a Tribal license or State certification. TSGC Section 2.1.

Association [CGCC]—An association of California tribal and state gaming regulators, the membership of which comprises up to two representatives from each tribal gaming agency of those tribes with whom the State has a gaming compact under IGRA and up to two delegates each from the Division of Gambling Control and the state Gambling Control Commission. TSGC Section 2.2.

Business Days [DGC]—Monday through Friday, excluding holidays.

Card room or card club [CGCC]—Licensed establishment where one or more rooms where controlled gambling or activity directly related thereto occurs.

CD-ROM [HDC]—Compact Disc Read-Only Memory. A disc with one or more metal layers capable of storing digital information.

CGCC [HDC]—California Gambling Control Commission. Defined in the Gambling Control Act and pursuant to the Governor's Executive Orders D-29-01 and D-31-01. Acts as the regulatory body over gambling activities in the State of California.

**Class I Gaming [DGC]**—Social games solely for prizes of minimal value or traditional forms of Indian gaming engaged in by individuals as a part of, or in connection with, tribal ceremonies or celebrations.

**Class II Gaming [DGC]**—The game of chance commonly known as bingo (whether or not electronic, computer, or other technologic aids are used in connection therewith), card games that (1) are explicitly authorized by the laws of the State, or (2) are not explicitly prohibited by the laws of the State and are played at any location in the State, but only if such card games are played in conformity with those laws and regulations (if any) of the State regarding hours or periods of operation of such card games or limitations on wagers or pot sizes in such card games. Class II gaming does not include: (1) any banking card games, including baccarat, chemin de fer, or blackjack (21), or slot machines of any kind.

**Class III Gaming [DGC]**—House banked card games and/or slot machines.

**CLETS [DGC]**—California Law Enforcement Telecommunications System. A telecommunications network routing system whereby the State provides all law enforcement users with the capability of obtaining information directly from federal, State, and local computerized information files. CLETS provides access to the following types of information: California Automated Criminal History, Stolen Property, and Stolen Vehicle Information, Firearms Registration, Wanted Persons System, Restraining Order System, California Department of Motor Vehicles for Vehicle Registration and driver's license checks.

**CMS [HDC]**—Change Management System. A procedure/method used for documenting and controlling all changes requested in a project.

**Compact Tribe [CGCC]**—A federally recognized tribe having a compact with the State that authorizes Class III gaming activities.

**Controlled Gambling [DGC]**—Controlled gambling means to deal, operate, carry on, conduct, maintain, or expose for play any controlled game.

**Controlled Game [DGC]**—Any controlled game, as defined by subdivision (e) of Section 337j of the Penal Code.

**COTS [HDC]**—Commercial Off-The-Shelf. Software that has been developed for commercial sales and distribution and could be installed and used without any changes made to the product.

**Designated Agent [DGC]**—An individual to act as an applicant's agent for purposes of receipt of service and all other communications with the Division.

**Determination of Suitability [CGCC]**— State certification process for Tribal Gaming licensees, financial sources, gaming resource suppliers. TSGC Section 6.5.6

**DGC [HDC]**—Division of Gambling Control. A division within the Department of Justice, which acts as the law enforcement entity for gambling activities in California and conducts criminal background investigations for DGCC for gambling license and work-permit applications.

DGS [HDC]—Department of General Services. A department within the State of California responsible for reviewing and approving documents pertaining to state procurement activities.

DOJ [HDC]—Department of Justice. A department within the State of California responsible for carrying out the constitutional responsibilities of the Office of the Attorney General

DOJ/DGC [CGCC]—Department of Justice/Division of Gambling Control.

DVBE [HDC]—Disabled Veteran Business Enterprise. A business that is at least 51percent owned and wholly operated by a qualified disabled veteran. Ensures that a portion of the state's overall annual contract dollars is awarded to disabled veteran's businesses.

EZA [HDC]—Enterprise Zone Act. Promotes economic development and employment opportunities in designated enterprise zones, by offering bidding preferences in specified State contracts.

Financial Source [CGCC]—Any person extending financing, directly or indirectly, to the Tribe's gaming facility or gaming operation. TSGC Section 6.4.6.

Finding of Suitability [CGCC]—A finding that a person meets the qualification criteria described in B&P Code Section 19857 (a)-(b) and would not be disqualified from holding a state gambling license.

FPPC [DGC]—Fair Political Practices Commission. Regulates the conduct of public officials and the disclosure of political campaign contributions and spending by candidates. The Gambling Control Act states that a gambling license may be denied, suspended or revoked if the applicant or licensee, within three years, or any time thereafter, violates any law or ordinance with respect to campaign finance disclosure or contribution limitations applicable to an election, as specified.

Gambling Control Act [DGC]—Chapter 5 (commencing with Section 19800) of Division 8 of the Business and Professions Code.

Gambling Establishment [CGCC]—Any premises wherein or whereon any gaming is done (Penal Code Section 337t (c)) (GCA B&P Code Section 19805 (m)). One or more rooms where any controlled gambling or activity directly related thereto occurs.

Gambling License [CGCC]—License issued by the state that authorizes the person named to conduct a gambling operation (GCA B&P Code Section 19805 (n)).

Gaming Device [CGCC]—A slot machine, including an electronic, electromechanical, electrical, or video device that, for consideration, permits individual play, etc. TSGC Section 2.6.

Gaming Employee [CGCC]—Any person who (a) operates, maintains, repairs, assists in any Class III gaming activity, or is in any way responsible for supervising such gaming activities or persons who conduct, operate, account for, or supervise any such gaming activity, (b) is in a category under federal or tribal gaming law requiring licensing, (3) is an employee of the Tribal Gaming Agency with access to confidential information, or (4) whose employment

duties require or authorize access to areas of the gaming facility that are not open to the public. TSGC Section 2.7.

Gaming Facility or “facility” [CGCC]—Any building in which Class III gaming activities or gaming operations occur, or in which the business records, receipts, or other funds of the gaming operation are maintained (but excluding offsite facilities primarily dedicated to storage of those records, and financial institutions), and all rooms, buildings, and areas, including parking lots and walkways, a principal purpose of which is to serve the activities of the Gaming Operation, provided that nothing herein prevents the conduct of Class II gaming (as defined under IGRA) therein. TSGC Section 2.8.

Gaming Operation [CGCC]—The business enterprise that offers and operates Class III Gaming Activities, whether exclusively or otherwise. TSGC Section 2.9.

Gaming Ordinances [CGCC]—A tribal ordinance or resolution duly authorizing the conduct of Class III Gaming Activities on the Tribe's Indian lands and approved under IGRA. TSGC Section 2.10.

GCA [CGCC]—Gambling Control Act, Chapter 5, commencing with Section 19800, of Division 8 of the B&P Code, including portions of Penal Code, and Government Code accordingly.

GCF [CGCC]—Gambling Control Fund.

GPAC [CGCC]—Gaming Policy Advisory Committee. B&P Code Section 19817 mandates the establishment of a committee to discuss matters of controlled gambling regulatory policy and other relevant gambling-related issues.

Hard-copy [HDC]—A print out of information that physically exists on paper.

HDC [HDC]—Hawkins Data Center. One of three legislatively mandated Data Centers. The Hawkins Data Center resides in the California Justice Information Services Division (CJIS), a division of the Department of Justice, Office of the Attorney General, which provides IT support services to law enforcement and the Department of Justice.

House [DGC]—The owner licensee of a gambling establishment.

HTML [HDC]—HyperText Markup Language. A programming language used to create the presentation layer for web pages.

IEEE [HDC]—Institute of Electrical and Electronics Engineers. An organization best known for developing standards for the computer and electronics industry.

IGRA [CGCC]—Indian Gaming Regulatory Act of 1988.

Independent Agent [CGCC]—Any person who does either: collects debt evidence by a credit instrument; or, contracts with an owner licensee, or affiliate, to provide services consisting of arranging transportation or lodging for guest at a gambling establishment.

**Key Employees**—Individuals who have applied for an obtained a key employee license or finding of suitability from the Commission.

**LAMBRA [HDC]**—Local Agency Military Base Recovery Act. Enacted to promote economic development and employment opportunities in designated military base areas by offering bidding preferences in specified state contracts.

**LDAP [HDC]**— Light Digital Access Protocol. An open set of protocols used to access information directories. LDAP supports TCP/IP, which is necessary for any type of Internet access.

**LAN [HDC]**—Local Area Network. A network that spans a relatively small area.

**LEIU [DGC]**—Law Enforcement Intelligence Unit. Provides a computerized pointer System that identifies individuals who have filed gaming applications in other states. LEIU inquiries are made concurrently with ACII name checks and utilize the same form. The resulting information from such requests does not indicate the status of the license, but requires independent verification by Division staff.

**LIS [HDC]**—License Information System. The name that has been chosen for this project's application.

**Management Contractor [CGCC]**—Any Gaming Resource Supplier with whom the Tribe has contracted for the management of any Gaming Activity or Gaming Facility, including, but not limited to, any person who would be regarded as a management Contractor under IGRA. TSGC Section 2.14.

**MAPPER [HDC]**—Maintaining, Preparing and Producing Executive Reports. A Unisys proprietary software product that includes a database and a proprietary programming language.

**Military [DGC]**—National Personnel Record Center. This inquiry is performed on all applicants who served in one of the United States military branches, to determine if the information presented on the applicant's application, with respect to their military background, is factual.

**MOU [HDC]**—Memorandum of Understanding.

**NCIC [DGC]**—National Crime Information Center. This is a nationwide computerized system that serves local, State, and federal criminal justice agencies. The NCIC collects criminal justice information (e.g., wanted persons information, missing persons information, stolen property, and criminal history information) and compiles it into a computerized index of documented crimes and criminals on a nationwide basis. This system also includes a locator-type file for missing and unidentified persons.

**Net Win [CGCC]**—As defined by American Institute of Certified Public Accountants. TSGC Section 2.15.

**NLETS [DGC]**—National Law Enforcement Telecommunication System. An interstate telecommunications network routing system (accessed through CLETS) that provides a

connection to every state regarding law enforcement requests for specified information (e.g., driver's license and driver's history, and vehicle registration). This check is only completed on nonresidents of California.

Non-Compact Tribe [CGCC]—Federally recognized tribe that has a compact with the State but operate fewer than 350 gaming devices; or, federally recognized tribe without a compact with the State.

Owner Licensee [CGCC]—An owner of a gambling enterprise who holds a state gambling license.

PMI [HDC]—Project Management Institute. The organization that defines the standard practices of project management.

PMP [HDC]—Project Management Professional. An individual that has completed the Project Management Institute's prescribed course of project management and has been certified.

Proposition Player [DGC]—Proposition player means a participant in any controlled game employed by a third party provider.

PY [DGC]—Personnel Year.

Responsible Bidder [HDC]—A Bidder who is eligible for award, by not having been defaulted on any previous contracts or is not prohibited from bidding due to other past problems. In addition, a responsible Bidder is fully licensed to do business and has any and all appropriate licenses or certifications required by the governing body.

Responsive Bidder [HDC]—A Bidder whose bid response is fully compliant to all requirements, both administrative and technical, as well as whose bid is presented as required and in the required quantity.

RSTF [CGCC]—Revenue Sharing Trust Fund. Created by the Legislature and administered by the California Gambling Control Commission, as Trustee, for the receipt, deposit, and distribution of monies paid pursuant to this Section 4.3.2. TSGC Section 4.3.2.1.

SAN [HDC]—Storage Area Network. A high-speed sub-network of shared storage devices that contain disks for storing data.

SAVE [DGC]—The Systematic Alien Verification for Entitlements Program. A database of selected immigration status information on over 60 million records. All foreign born applicants are run through the system to verify the status of citizenship, naturalization, or alien registration.

SDF [CGCC]—Special Distribution Fund. Created by the Legislature for the receipt, deposit, and distribution of monies paid pursuant to Section 5.0. TSGC Section 5.1.

TACPA [HDC]—Target Area Contract Preference Act. An act which promotes economic development and employment in distressed areas of the state by offering bidding preferences on qualified solicitations.

TCP/IP [HDC]—Transmission Control Protocol/Internet Protocol is a protocol that enables two hosts to establish a connection and exchange streams of data.

TGA [CGCC]—Tribal Gaming Agency. The person, agency, board, committee, commission, or council designated under tribal law, including, but not limited to, an intertribal gaming regulatory agency approved to fulfill those functions by the National Indian Gaming Commission, as primarily responsible for carrying out the Tribe's regulatory responsibilities under IGRA and the Tribal Gaming Ordinance. No person employed in, or in connection with, the management, supervision, or conduct of any gaming activity may be a member or employee of the Tribal Gaming Agency. TSGC Section 2.20.

Thin Client [HDC]—A strategy that relies on a browser (Netscape and/or Internet Explorer) to provide an end-user application interface.

Third Party Provider of Proposition Players Services [DGC]—An agreement between a licensed gambling establishment and a third-party for the purpose of providing proposition player services for a controlled game. The gambling establishment or house has no interest in the funds wagered, lost, or won.

Tribal Chairperson [CGCC]—The person duly elected or selected under the Tribe's organic documents, customs, or traditions to serve as the primary spokesperson for the Tribe. TSGC Section 2.19.

Tribal-State Gaming Compact [DGC]—An agreement between an individual tribe and the State, ratified by the Legislature, for the purpose of the tribe conducting Class III gaming on their lands.

WAN [HDC]—Wide Area Network. A network that spans a relatively large geographical area. Typically, a WAN consists of two or more LANs and is connected by telephone lines or radio waves etc.

Work Permit [CGCC]—Any card, certificate, or permit issued by the Commission or by a county, city, or city and county, authorizing the holder to be employed as a gambling enterprise employee or to serve as an independent agent.

## Appendix F - Table of Sample Reports, Forms, Screens

See [PDF Documents](#) for more details of these items.

### List of Reports, Forms, and Screens

Function	Type	Item	Description
1	Form	1	Owner's Gambling License – Certificate of License
1	Form	2	Cardroom License Payment Installments Letter
1	Form	3	Application for State Gambling License (Initial and Renewal)
1	Report	4	New License Application Log
1	Report	5	Cardroom License Renewal Application Log
1	Report	6	Cardroom Information
1	Report	7	Card Tables Per Establishment Report
1	Report	8	Cardroom Expiration Report by Date
1	Report	9	Cardroom Mailing List
1	Screen	10	Cardroom
1	Screen	11	(Cardroom) Mailing Address
1	Screen	12	(Cardroom) Designated Agent
1	Screen	13	(Cardroom) Tickler
2	Form	14	Temporary Work Permit Approval Letter
2	Form	15	Application for Initial Regular Work Permit/Temporary Work Permit
2	Form	16	Application for Transfer of Work Permit
2	Form	17	Application for Work Permit Renewal
2	Form	18	Application for Replacement Work Permit Badge
2	Report	19	Work Permit Application Log
2	Report	20	Work Permit Renewals Log
2	Report	21	Work Permit exp within 150 Day
2	Report	22	Work Permit exp within 150 – Ee terminate only
2	Report	23	Work Permit exp within 150 – Regular Permits only
2	Report	24	Work Permit - Regular



Function	Type	Item	Description
2	Report	25	Work Permit - Temporary
2	Screen	26	(Cardroom) Work Permit
4	Screen	27	Tribal Operation
4	Screen	28	(Tribal Operation) Mailing Address
4	Screen	29	Tribal Council
4	Screen	30	Tribal Gaming Agency
5	Form	31	Application for Finding of Suitability - Business
5	Form	31a	Application for Finding of Suitability - Principals
5	Report	32	Tribal Vendors Application for Registration Log
5	Report	33	Tribal Vendors Application for Registration Renewals Log
8	Form	34	Tribal-State Compact Gaming Device Certification Form
8	Form	35	RSTF License Fee Statement for the Quarter from MM/DD/YYY through MM/DD/YYYY
8	Form	36	RSTF License Fee Statement for the Quarter from MM/DD/YYY through MM/DD/YYYY (Invoice)
8	Report	37	RSTF Cash Receipts Journal - Fiscal Year 200X - 200Y
8	Report	38	RSTF Device Certification Forms for Quarter Ended MM/DD/YYY
8	Report	39	RSTF Allocation and Distribution Summary Account Statement
8	Report	40	RSTF Distribution Analysis
8	Report	41	RSTF Balance Available for Distribution Reconciliation For Month ended MM/DD/YYY
8	Report	42	RSTF Accounts Receivable Balances with Fees Due for the Quarter ending MM/DD/YYYY
8	Report	43	RSTF MM/DD/YYY License Fee Calculation
8	Report	44	RSTF Receipts Journal, MM/DD/YYYY - MM/DD/YYYY
8	Report	44a	RSTF Check Log
9	Report	45	SDF Detail Receipt Journal - Quarterly Contribution Payments
9	Report	46	SDF Status of Funds Report
9	Report	48	SDF Distribution Fund Calculation - Tribal Quarterly Report
9	Report	49	SDF Quarterly Report Review Worksheet

Function	Type	Item	Description
9	Report	50	SDF Distribution Fund Contribution Report Review Summary (Quarterly)
9	Report	51	SDF Distribution Fund Financial Ratios and Statistics
9	Report	52	SDF Past Due Quarterly Contribution Report
12	Form	53	Owner's Gambling License – Endorsement (Key Employees)
12	Report	54	Key Employee Application Log
13	Form	55	Application for Key Employee License (Initial and Renewal)
13	Screen	56	(Cardroom) Key Employee
14	Report	57	Key Employees of Tribal Operations
14	Report	58	Tribal Key Employees Initial Application Log
14	Report	59	Tribal Key Employees Application Renewals Log
14	Screen	60	(Tribal Operation) Key Employee
20	Form	61	Application for Registration of Manufacturers or Distributors of Gambling Equipment
20	Form	62	Shipping Notices "Database"
20	Report	63	Manufacturers & Distributors Registration Log
20	Report	64	Manufacturers & Distributors Registration Application Renewals Log
20	Report	65	DGC Manufacturers & Distributors Application Report as of (date)
20	Report	66	Gaming Device Manufacturer List
20	Report	67	Gaming Device Manufacturer (DBAs & Locations)
20	Screen	68	Gaming Device Manufacturer Corporate & DBAs or Locations
22	Form	69	Request For A Certificate To Operate Additional Tables On A Temporary Basis (DGC)
22	Form	70	Temporary Table Certificate
22	Form	71	Temporary Table Approval Letter
22	Report	72	Request for Additional Tables Log
24	Report	73	Licensing Check Log
24	Report	74	Special Distribution Check Log
24	Report	75	Revenue Sharing Trust Fund Check Log
24	Report	76	Miscellaneous Check Log

Function	Type	Item	Description
24	Report	77	Report of Deposit (STO B/A 1/98...State Treasurer's Office form)
24	Report	78	Report of Collection (GS80-D3/xls, 5/5/97...General Services form)
24	Report	79	Report of Collection Log – Contracted Fiscal Services (DGS/CFS form)
25	Report	80	Miscellaneous Documents Received Log
26	Form	81	Yurok Tribe-Del Norte Imp. Fund Qtrly Tribal Sales Tax Contribution Report
26	Form	82	Yurok Tribe-Del Norte Imp. Fund Qtrly Tribal Hotel Tax Contribution Report

## Appendix H - Technical Description

### 1. DOJ UNIX Cluster Environment

The Unix environment has a production cluster as well as a test cluster that the majority of DOJ UNIX systems utilize. (CFIS included)

#### PRODUCTION CLUSTER HARDWARE

2) SUN 4500's - (8x400 MHz proc with 8 Gb of Ram apiece)

1) SUN 480 - (4x900 MHz proc with 16 Gb of Ram) - *currently being integrated into cluster*

#### PRODUCTION CLUSTER SOFTWARE

Solaris 8 O/S

Oracle database 8.1.7 \*

Oracle database 9.2.0.1

Oracle application server oas4082

Oracle Forms & Reports (dev6i)

VERITAS Cluster Server 3.5 - *in process of upgrading from 2.0*

#### TEST CLUSTER HARDWARE

2) SUN 480's - (4x900 MHz proc with 16 Gb of Ram apiece)

#### TEST CLUSTER SOFTWARE

Solaris 8 O/S

Oracle database 8.1.7 \*

Oracle database 9.2.0.1

Oracle application server oas4082

Oracle Forms & Reports (dev6i)

VERITAS Cluster Server 3.5 - *in process of upgrading from 2.0*

CLUSTER USAGE - We can currently run all instances on a single node within a cluster and utilize the opposite node as a hot fail-over (5 minute or less roll time). We can also split various instances across the cluster as necessary. As the cluster grows, we foresee splitting out instances on multiple nodes with one node evacuated for the purpose of hot fail-over. This also facilitates software / hardware upgrades and patches as the unused node is available without incurring application down-time.

**Both clustered environments are connected to DOJ's EMC SAN for storage facilities.**

\* Though we have supported both Oracle versions 8 and 9 to date, DOJ has just completed the migration of all DB's to 9.

## 2. DOJ Windows Cluster Environment

The Windows environment has several clustered systems server various DOJ databases.

### CalGang Cluster

Server Hardware: 2 x DELL PowerEdge 6350 (4 x 500MHz w/3GB RAM)

SAN Hardware: DELL PowerVault 650F, direct-connect via copper

Server O/S: Windows NT 4.0 Advanced Server w/SP6a (both nodes)

Server DB: MS SQL Server 7.0 w/SP3

Server Cluster: MS Cluster Service

Cluster Usage: Currently running an active/active cluster with two SQL instances. Either node is able to fail over to the other in approximately 45 seconds.

### Development/Test SQL Database Cluster

Server Hardware: 2 x UNISYS ES2000 (4 x 700MHz w/4GB RAM)

SAN Hardware: EMC/Symmetrix, connect via fibre-channel

Server O/S: Windows 2000 Advanced Server w/SP3

Server DB: MS SQL Server 2000

Server Cluster: MS Cluster Service

Cluster Usage: Currently running an active/active cluster with three SQL instances. Either node is able to fail over to the other in approximately 45 seconds.

**CalPhoto Cluster**

Server Hardware: 2 x UNISYS ES5000 (4 x 700MHz w/4GB RAM)

SAN Hardware: EMC/Symmetrix, connect via fibre-channel

Server O/S: Windows 2000 Advanced Server w/SP3

Server DB: MS SQL Server 2000

Server Cluster: MS Cluster Service

Cluster Usage: Currently running an active/passive cluster with one SQL instance. One node is able to fail over to the other in approximately 45 seconds.

**(Old) Production SQL Database Cluster**

Server Hardware: 2 x UNISYS ES7000 (8 x 700MHz w/4GB RAM)

SAN Hardware: EMC/Symmetrix, connect via fibre-channel

Server O/S: Windows 2000 Advanced Server w/SP3

Server DB: MS SQL Server 2000

Server Cluster: MS Cluster Service

Cluster Usage: Currently running an active/active cluster with up to five SQL instances. Either node is able to fail over to the other in approximately 45 seconds.

**(New) Production SQL Database Cluster**

Server Hardware: 2 x UNISYS CS7802 (8 x 700MHz w/2GB RAM)

SAN Hardware: EMC/Symmetrix, connect via fibre-channel

Server O/S: Windows 2000 Advanced Server w/SP3

Server DB: MS SQL Server 2000

Server Cluster: MS Cluster Service

Cluster Usage: Currently running an active/active cluster with three SQL instances. Either node is able to fail over to the other in approximately 45 seconds.

## **Appendix L - Standard Agreement – STD 213**

See PDF Document [“Standard Agreement” – STD 213](#). The selected vendor will be required to complete their portion of this form during the Award of the Contract as follows:

- Contractor's Name
- Printed Name and Title of Person Signing
- Address